United Nations A/66/354/Add.2

General Assembly

Distr.: General
12 September 2011

Original: English

Sixty-sixth session
Item 134 of the provisional agenda*
Proposed programme budget for the biennium 2012-2013

Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council

Thematic cluster II: sanctions monitoring teams, groups and panels

Report of the Secretary-General

Summary

The present report contains the proposed resource requirements for 2012 for 11 special political missions created by decisions of the Security Council and grouped under the thematic cluster of sanctions monitoring teams, groups and panels.

The estimated requirements for 2012 for special political missions grouped under this cluster amount to $32,396,300.

* A/66/150.

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I. Financial overview

1. The estimated requirements for 2012 for special political missions grouped under this cluster amount to $32,396,300 (net) (see table below). The present report allows for a comparison between total requirements for 2012 and requirements for 2011 as approved by the General Assembly in resolution 65/259 and contained in the reports of the Secretary-General (A/65/328/Add.2 and Corr.1) and the Advisory Committee on Administrative and Budgetary Questions (A/65/602).

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
	Appropriation	*Estimated expenditure*	*Variance, savings (deficit)*	*Total*	*Non-recurrent*	*Total requirements 2011*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)*	*(6)*	*(7)=(4)-(6)*
Monitoring Group on Somalia and Eritrea	3 849.1	3 805.3	43.8	2 234.5	3.1	2 186.2	48.3
Panel of Experts on Liberia	1 264.8	1 066.2	198.6	641.7	18.2	641.7	—
Group of Experts on Côte d'Ivoire	2 610.0	2 473.1	136.9	1 319.4	18.2	1 302.9	16.5
Group of Experts on the Democratic Republic of the Congo	2 778.5	2 739.1	39.4	1 546.3	15.0	1 447.9	98.4
Panel of Experts on the Sudan	3 521.7	3 510.5	11.2	1 846.3	20.2	1 802.7	43.6
Panel of Experts on the Democratic People's Republic of Korea	5 963.0	5 191.9	771.1	2 790.3	—	3 036.2	(245.9)
Panel of Experts on the Islamic Republic of Iran	3 217.7	3 217.7	—	3 193.6	—	3 217.7	(24.1)
Panel of Experts on the Libyan Arab Jamahiriya[a]	1 670.4	1 475.2	195.2	2 597.0	15.0	1 670.4	926.6
Analytical Support and Sanctions Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities	8 231.2	7 657.5	573.7	4 263.8	4.5	4 299.0	(35.2)
Support to the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction	6 334.6	5 721.5	613.1	3 070.9	12.7	3 045.7	25.2
Counter-Terrorism Committee Executive Directorate	17 290.7	16 958.9	331.8	8 892.5	—	8 902.0	(9.5)
Total	**56 731.7**	**53 816.9**	**2 914.8**	**32 396.3**	**106.9**	**31 552.4**	**843.9**

[a] The amount of $1,670,400 approved by the General Assembly in resolution 65/288 for the Panel of Experts on the Libyan Arab Jamahiriya is to be absorbed, as decided by the Assembly, within the overall appropriation for special political missions for the biennium 2010-2011 and to be reported in the context of the second performance report.

II. Special political missions

A. Monitoring Group on Somalia and Eritrea

($2,234,500)

Background, mandate and objective

2. The Monitoring Group on Somalia and Eritrea is a successor to the Monitoring Group on Somalia, whose mandate was expanded to encompass Eritrea with the adoption of Security Council resolution 1907 (2009). It was re-established for a period of 12 months on 29 July 2011 by Security Council resolution 2002 (2011), in paragraph 6 of which the Council requested the Secretary-General to take the necessary measures to re-establish the Monitoring Group, consisting of eight experts, drawing on the expertise of the members of the Monitoring Group established pursuant to resolution 1916 (2010), and consistent with resolution 1907 (2009).

3. The Monitoring Group monitors violations of the measures imposed by the Security Council in its resolutions 733 (1992) and 1844 (2008), namely, targeted sanctions (individual arms embargo, travel ban and assets freeze) on individuals and entities. The Group reports to the Council through its Committee established pursuant to resolutions 751 (1992) and 1907 (2009) concerning Somalia and Eritrea. The Monitoring Group is mandated to undertake the following tasks:

(a) To assist the Committee in monitoring the implementation of the measures imposed in paragraphs 1, 3 and 7 of resolution 1844 (2008), including by reporting any information on violations, and to include in its reports to the Committee any information relevant to the potential designation of the individuals and entities described in paragraph 1 of resolution 2002 (2011);

(b) To assist the Committee in compiling narrative summaries, referred to in paragraph 14 of resolution 1844 (2008), of individuals and entities designated pursuant to paragraph 1 of resolution 2002 (2011);

(c) To investigate any seaport operations in Somalia that may generate revenue for Al-Shabaab, an entity designated by the Committee for meeting the listing criteria in resolution 1844 (2008);

(d) To continue the tasks outlined in paragraph 3 (a) to (c) of resolution 1587 (2005), paragraph 23 (a) to (c) of resolution 1844 (2008) and paragraph 19 (a) to (d) of resolution 1907 (2009), namely:

(i) To continue investigating the implementation of the arms embargo by Member States and violations, inter alia, through field-based investigations in Somalia, where possible, and, as appropriate, in other States, in particular, those in the region;

(ii) To assess actions taken by Somali authorities, as well as Member States, in particular those in the region, to fully implement the arms embargo;

(iii) To make specific recommendations based on detailed information in relevant areas of expertise related to violations and measures to give effect to and strengthen the implementation of the arms embargo in its various aspects;

(iv) To assist the Committee in monitoring the implementation of resolution 1844 (2008) by providing any information on violations of the measures imposed in paragraphs 1, 3 and 7 thereof, in addition to the general and complete arms embargo reaffirmed in paragraph 6 of the resolution;

(v) To include in its reports to the Committee any information relevant to the Committee's designation of the individuals and entities described in paragraph 8 of resolution 1844 (2008);

(vi) To assist the Committee in compiling narrative summaries referred to in paragraph 14 of resolution 1844 (2008);

(vii) To assist the Committee in monitoring the implementation of the sanctions measures imposed on Eritrea;

(e) To investigate, in coordination with relevant international agencies, all activities, including in the financial, maritime and other sectors, which generate revenues used to commit violations of the arms embargoes against Somalia and Eritrea;

(f) To investigate any means of transport, routes, seaports, airports and other facilities used in connection with violations of the Somalia and Eritrea arms embargoes;

(g) To continue refining and updating information on the draft list of those individuals and entities that engage in acts described in paragraph 1 of resolution 2002 (2011), inside and outside Somalia, and their active supporters, for possible future measures by the Council, and to present such information to the Committee as and when the Committee deems it appropriate;

(h) To compile a draft list of those individuals and entities that engage in violations of resolution 1907 (2009) inside and outside Eritrea, and their active supporters, for possible future measures by the Council, and to present such information to the Committee as and when the Committee deems it appropriate;

(i) To continue making recommendations, based on its investigations, on the previous reports of the Panel of Experts appointed pursuant to resolutions 1425 (2002) and 1474 (2003) and of the Monitoring Group;

(j) To work closely with the Committee on specific recommendations for additional measures to improve overall compliance with the Somalia and Eritrea arms embargoes;

(k) To assist in identifying areas where the capacities of States in the region can be strengthened to facilitate the implementation of the Somalia and Eritrea arms embargoes;

(l) To provide to the Council, through the Committee, a midterm briefing within six months of its establishment and to submit progress reports to the Committee on a monthly basis;

(m) To submit, for the Security Council's consideration, through the Committee, two final reports, one focusing on Somalia, the other on Eritrea, covering all the tasks set out above, no later than 15 days prior to the termination of the Monitoring Group's mandate.

4. The Monitoring Group is based in Nairobi, with offices at the United Nations Office at Nairobi. The Executive Office of the Department of Political Affairs continues to provide administrative support for the Group, such as issuing contracts, processing payments and making travel arrangements. In addition, the office of the United Nations Development Programme (UNDP) Somalia, which is based in Nairobi, and the United Nations Office at Nairobi provide administrative and logistical support to the Monitoring Group, in particular in relation to field requirements, including regional travel and the recruitment of local staff.

5. In 2010 and 2011, the activities of the Monitoring Group included: (a) travel to areas of concern in the Horn of Africa; (b) meetings with senior Government officials in the region and representatives of the African Union, the Intergovernmental Authority on Development (IGAD) and diplomatic missions; (c) maintaining contact with knowledgeable key individuals from Somali civil society; (d) maintaining contact with the Analytical Support and Sanctions Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities; (e) maintaining contact with the Panel of Experts on the Islamic Republic of Iran; (f) meetings with the Special Representative of the Secretary-General for Somalia and staff of the United Nations Political Office for Somalia; (g) meetings with representatives of regional offices of UNDP; and (h) informing the Security Council Committee established pursuant to resolution 751 (1992) of its activities on a monthly basis and by means of a midterm briefing and final report.

Cooperation with other entities

6. The Monitoring Group on Somalia and Eritrea cooperates with similar groups established by the Security Council and seeks the assistance of agencies and regional and intergovernmental organizations, such as the African Union, the League of Arab States, IGAD, the International Civil Aviation Organization (ICAO), the International Maritime Organization (IMO), the International Criminal Police Organization (INTERPOL) and the World Customs Organization (WCO), and works closely with the Special Representative of the Secretary-General for Somalia on matters related to its mandate. In particular, the Monitoring Group interacted with INTERPOL and IMO in enhancing cooperation concerning illicit arms trading by land or sea.

Performance information

7. In July 2011, the Monitoring Group on Somalia and Eritrea provided the Security Council Committee with a list of individuals and entities violating provisions of the sanctions measures contained in Security Council resolution 1844 (2008). Narrative justifications, together with the biographical and other data necessary to enable the Committee to take appropriate measures to freeze assets and prevent travel, were also provided. The Monitoring Group interacted with the Committee in February and July 2011 to present the list and answer questions, and held bilateral meetings at the request of individual Committee members. The Monitoring Group continued to submit monthly progress reports to the Committee. In addition, the Monitoring Group provided a midterm briefing to the Committee in February 2011 and submitted its final report in July 2011 (S/2011/433).

8. During its latest mandate, the Monitoring Group visited 24 countries (many of them more than once), sent 171 official letters and had the opportunity to question numerous official and confidential sources, including current and former Eritrean Government and party officials, Somali political, commercial and civic leaders, and over 100 members or former members of various armed opposition groups across the region. In its final report (S/2011/433), the Monitoring Group made 34 recommendations relating to both Somalia and Eritrea for the consideration of the Committee. The thematic areas of the report include threats to international peace and security, Al-Shabaab finances, piracy, the arms embargo and obstruction of the delivery of humanitarian assistance.

9. The addition of Eritrea to the scope of its mandate posed a particular challenge to the Monitoring Group with respect to information gathering and it was compelled to rely primarily on diaspora sources in order to obtain necessary information. In particular, the Group contacted many former Eritrean military, intelligence and diplomatic officials with prior knowledge of the People's Front for Democracy and Justice, as well as the military establishment.

Planning assumptions for 2012

10. In 2012, the projected requirements for which are outlined in the present report, the Monitoring Group on Somalia and Eritrea will continue to monitor the implementation of the arms embargoes in accordance with the Security Council mandate and the targeted sanctions (individual arms embargo, travel ban and assets freeze) imposed by resolutions 1844 (2008) and 1907 (2009). It will conduct extensive field work and inform the Security Council Committee of its activities on a monthly basis. It will continue to provide oral and midterm briefings and will submit a final report presenting a detailed account of its investigations and policy options for addressing violations of measures. The Monitoring Group will collect information on and monitor the implementation by States of the measures imposed by the Council and make recommendations for consideration by the Council on future action to be taken.

11. The objective, expected accomplishments and indicators of achievement of the Monitoring Group are presented below.

Objective: To prevent all delivery of weapons and military equipment to Somalia and Eritrea

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Security Council Committee to States on alleged violations cited by the Monitoring Group *Performance measures* 2010: 8 Estimate 2011: 35 Target 2012: 35

	(ii) Number of bilateral meetings between the Chair of the Committee and concerned States to follow up on the Monitoring Group's report *Performance measures* 2010: 12 Estimate 2011: 8 Target 2012: 8

Outputs

- Reports to the Security Council, through the Committee (1)
- Briefing of the Committee (3)
- Monthly reports to the Committee (9)
- Investigations relating to the implementation and violations of the Security Council's sanctions

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of recommendations made by the Monitoring Group agreed upon by the Committee *Performance measures* 2010: 20 Estimate 2011: 34 Target 2012: 30 (ii) Number of amendments to entries on the sanctions lists *Performance measures* 2010: 8 Estimate 2011: 25 Target 2012: 25

Outputs

- Updated draft list of violators of the arms embargo provided to the Committee for consideration (1)
- Written recommendations on additional measures to improve overall compliance with the arms embargo and the individual targeted sanctions provided to the Committee

External factors

12. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Monitoring Group and provided that the investigations of the Group are unhindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			Requirements for 2012		Variance analysis 2011-2012	
Category	Appropriation (1)	Estimated expenditure (2)	Variance, savings (deficit) (3)=(1)-(2)	Total (4)	Non-recurrent (5)	Total requirements 2011 (6)	Variance (7)=(4)-(6)
Civilian personnel costs	361.0	266.4	94.6	268.5	—	240.7	27.8
Operational costs	3 488.1	3 538.9	(50.8)	1 966.0	3.1	1 945.5	20.5
Total	**3 849.1**	**3 805.3**	**43.8**	**2 234.5**	**3.1**	**2 186.2**	**48.3**

13. Should the Security Council extend the mandate of the Monitoring Group on Somalia and Eritrea beyond July 2012 and should the Group operate for 11 months in 2012 as it did in 2011, the estimated requirements for 2012 would amount to $2,234,500 net ($2,263,200 gross). That amount would provide for salaries and common staff costs for the continuation of three positions (one General Service (Other level) and two General Service (Local level)) and the creation of one P-3 level position to provide substantive and administrative support to the members of the Group ($198,200), charges pertaining to two Security Officers to provide security services and escort to the experts ($70,300); fees ($1,104,300) and official travel ($588,400) of the eight members of the Group; official travel of staff ($58,300); and other operational and logistical support requirements, such as rental of office space, rental of vehicles, communications, information technology equipment and maintenance, and miscellaneous supplies and services ($215,000).

14. The variance between the 2012 requirements and the 2011 budget is due mainly to the proposed creation of a new position of Political Affairs Officer.

15. The anticipated unencumbered balance for 2010-2011 reflects the actual entitlements of the incumbents of the positions being lower than anticipated and the delay in recruitment of local staff when the experts were not able to be in Nairobi, partly offset by the additional cost of travelling to the region when the experts were based in New York for security reasons.

Staffing requirements

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field/ Security Service	General Service	Total international	National Officer	Local level	United Nations Volunteers	Total
Approved 2011	—	—	—	—	—	—	—	—	—	—	1	1	—	2	—	3
Proposed 2012	—	—	—	—	—	—	1	—	—	—	1	2	—	2	—	4
Change	—	—	—	—	—	—	1	—	—	—	—	1	—	—	—	1

16. It is proposed to create a position of Political Affairs Officer (P-3) to support the experts of the Monitoring Group on Somalia and Eritrea in view of the expansion of the mandate and size of the Group in the past two years.

B. Panel of Experts on Liberia

(S641,700)

Background, mandate and objective

17. The Panel of Experts on Liberia was established pursuant to Security Council resolution 1343 (2001) to carry out the functions mandated in paragraph 19 of that resolution. The mandate of the Panel has been extended by the Council several times, most recently by its resolution 1961 (2010) until 16 December 2011. Given the continuation of the arms embargo and targeted travel and financial sanctions, as well as ongoing concerns about security sector reform, the implementation of the forestry legislation and compliance with the Kimberley Process Certification Scheme, as well as natural resource governance, the Council may extend the mandate of the Panel beyond 16 December 2011.

18. The Panel assists the Security Council Committee established pursuant to resolution 1521 (2003) concerning Liberia in overseeing the sanctions regime and reports to the Council through the Committee. The Panel consists of three experts and is mandated under paragraph 6 of Council resolution 1961 (2010) to undertake the following tasks:

(a) To conduct two follow-up assessment missions to Liberia and neighbouring States in order to investigate and compile a midterm and a final report on the implementation, and any violations, of the measures on arms as amended by resolution 1903 (2009), including any information relevant to the designation by the Committee of the individuals described in paragraph 4 (a) of resolution 1521 (2003) and paragraph 1 of resolution 1532 (2004), and including the various sources of financing, such as from natural resources, for the illicit trade of arms;

(b) To assess the impact and effectiveness of the measures imposed by paragraph 1 of resolution 1532 (2004), including particularly with respect to the assets of former President Charles Taylor;

(c) To identify and make recommendations regarding areas where the capacity of Liberia and the States in the region can be strengthened to facilitate the implementation of the measures imposed by paragraph 4 of resolution 1521 (2003) and paragraph 1 of resolution 1532 (2004);

(d) Within the context of the evolving legal framework of Liberia, to assess the extent to which forestry and other natural resources are contributing to peace, security and development rather than to instability and to what extent relevant legislation (National Forestry Reform Law, Lands Commission Act, Community Rights Law with respect to Forest Land, and Liberia Extract Industries Transparency Initiative Act) and other reform efforts are contributing to that transition, and to provide recommendations, if appropriate, on how such natural resources could better contribute to the country's progress towards sustainable peace and stability;

(e) To assess the compliance of the Government of Liberia with the Kimberley Process Certification Scheme and to coordinate with the Kimberley Process in assessing compliance;

(f) To provide a midterm report to the Council through the Committee by 1 June 2011 and a final report to the Council through the Committee by 1 December 2011 on all issues listed in the present paragraph, and to provide informal updates to the Committee as appropriate before those dates, especially on the progress in the forest sector since the lifting of paragraph 10 of resolution 1521 (2003) in June 2006, and in the diamond sector since the lifting of paragraph 6 of resolution 1521 (2003) in April 2007;

(g) To cooperate actively with other relevant panels of experts, in particular that on Côte d'Ivoire re-established by paragraph 9 of resolution 1946 (2010) and that on the Democratic Republic of the Congo re-established by paragraph 5 of resolution 1952 (2010), with respect to natural resources;

(h) To cooperate actively with the Kimberley Process Certification Scheme;

(i) To assist the Committee in updating the publicly available reasons for listing for entries on the travel ban and assets freeze lists.

19. During the first half of 2011, the Panel conducted field work in Liberia and interacted with Government officials, international partners of Liberia, diplomatic missions, civil society organizations and private-sector entities. The Panel conducted investigations in Monrovia as well as in the Liberian counties bordering Côte d'Ivoire (Grand Gedeh, River Gee, Maryland and Nimba) to investigate allegations of cross-border movements of arms in connection with the post-election violence in Côte d'Ivoire. The Panel also visited the United States of America and worked with Kimberley Process personnel to assess the compliance of Liberia with the Process.

20. The Security Council allowed the timber sanctions to expire in June 2006 and confirmed that decision following a sanctions review in October 2006. Subsequently, and following its review of the sanctions measures, the Council, by its resolution 1753 (2007), lifted the diamond sanctions on 27 April 2007. In the light of those positive developments, the Council decided, by its resolution 1760 (2007), to reduce the number of experts from five to three. The Council, however, continues to call upon the Panel to assess the state of play in the timber and diamond sectors, even though the sanctions in those sectors have been lifted.

Cooperation with other entities

21. In carrying out its mandate, the Panel of Experts on Liberia cooperates with similar groups established by the Security Council, in particular the Group of Experts on Côte d'Ivoire. The Panel has had ongoing communication and information exchange with the Group of Experts. In resolution 1961 (2010), the Panel was also tasked with cooperating with the Group of Experts on the Democratic Republic of the Congo.

22. The Panel of Experts also cooperates with and seeks the assistance of United Nations entities, international financial institutions and regional and intergovernmental organizations, such as the Special Court for Sierra Leone, the Economic Community of West African States (ECOWAS), ICAO and INTERPOL.

The Panel also works closely with the Special Representative of the Secretary-General for Liberia, the United Nations Mission in Liberia (UNMIL), the United Nations Office on Drugs and Crime (UNODC) and the United Nations Office for West Africa.

23. The Panel of Experts undertakes most of its work in Liberia and thus benefits from synergies made possible by the presence of UNMIL, which assists the Panel by providing office space and information and communications technology equipment, arranging for ground and air transportation and security and assisting it with other administrative arrangements, thus enhancing the ability of the Panel to conduct the field work essential to its mandate and to follow up quickly on investigative leads. The Panel also benefits from substantive political briefings and other information provided by UNMIL, as well as interaction with UNMIL staff in the military, environmental and legal and judicial fields.

Performance information

24. As a result of its recent investigations, the Panel of Experts was able to provide in its final 2010 report (S/2010/609), information on the implementation by Liberia of the Kimberley Process Certification Scheme. In that connection, the Panel provided updated information on the Liberian diamond sector, including detailed statistics. To decrease the likelihood that embargoed Ivorian diamonds enter Liberia, the Panel encouraged the Kimberley Process and the Government to develop a production and export footprint for Liberian diamonds. The Panel also made recommendations aimed at improving the compliance of Liberia with the Kimberley Process Certification Scheme. Furthermore, the Panel for the first time provided a comprehensive assessment of the contribution of natural resources to peace, security and development in Liberia. In that connection, the Panel provided detailed information, including statistics, on the vision of Liberia for the role of natural resources; its evolving framework for natural resource governance; industrial natural resource concessions and concession allocations; the artisanal and informal sectors; revenue transparency and non-payment issues; as well as benefit sharing, access to information and public participation. The Panel made various specific recommendations on how UNMIL, the Peacebuilding Commission, the World Bank, the European Union and Member States can assist the Government of Liberia to improve its natural resource governance.

25. The Government of Liberia has had difficulty implementing the assets freeze imposed by Security Council resolution 1532 (2004). Taking into account those difficulties, the Panel of Experts had approached the Financial Action Task Force in 2010 to explore what sort of assistance might be available to the Government of Liberia at the multilateral level to enable it to be in a better position to implement the Council's mandatory measures. Following a recommendation by the Panel, the Committee agreed in July 2011 to dispatch a number of letters to donors asking them to redouble their efforts to assist the Government of Liberia in improving its natural resource governance. Improved natural resource governance will contribute significantly to post-conflict peacebuilding in Liberia.

Planning assumptions for 2012

26. In 2012, the projected requirements for which are outlined in the present report, the Panel of Experts on Liberia will continue to collect information on the

implementation by States of the relevant measures imposed by the Security Council and on any violations of those measures; assess the progress made towards meeting the conditions of the Council for lifting those measures; assess the implementation of the Liberian forestry legislation as well as compliance by Liberia with the Kimberley Process Certification Scheme; and make recommendations on how the capacity of States to facilitate the implementation of the remaining sanctions can be strengthened. The Panel will also continue to assist the Security Council Committee established pursuant to resolution 1521 (2003) in updating the publicly available reasons for the listing of entries on the travel ban and assets freeze lists, as directed by the Council in its resolution 1854 (2008). The Panel will also continue to assess the extent to which forestry and other natural resources are contributing to peace, security and development, and make relevant recommendations on how the natural resources of Liberia can better contribute to its progress towards sustainable peace and stability.

27. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To ensure the implementation and enforcement of the relevant sanctions measures adopted by the Security Council

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) Number of official communications from the Committee to States on alleged violations cited by the Panel of Experts *Performance measures* 2010: 9 Estimate 2011: 25 Target 2012: 25

Outputs

- Reports to the Committee (2)
- Investigations related to the implementation and violations of the Security Council's sanctions

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Panel agreed upon by the Committee *Performance measures* 2010: 27 Estimate 2011: 28 Target 2012: 30

	(ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: 2 Estimate 2011: 2 Target 2012: 2 (iii) Number of amendments to entries on the travel ban and assets freeze lists *Performance measures* 2010: 0 Estimate 2011: 30 Target 2012: 30

Outputs

- Recommendations on adjustments to the sanctions regime (30)
- Recommendations concerning new individuals to be listed or updates to the existing sanctions list (2)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2010: 30 Estimate 2011: 25 Target 2012: 25

Outputs

- Communications to States and entities requesting actions or updates related to compliance with the sanctions measures (25)
- Investigations into the compliance of States and entities with the sanctions regime

External factors

28. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			Requirements for 2012		Variance analysis 2011-2012	
Category	Appropriation (1)	Estimated expenditure (2)	Variance, savings (deficit) (3)=(1)-(2)	Total (4)	Non-recurrent (5)	Total requirements 2011 (6)	Variance (7)=(4)-(6)
Operational costs	1 264.8	1 066.2	198.6	641.7	18.2	641.7	—
Total	**1 264.8**	**1 066.2**	**198.2**	**641.7**	**18.2**	**641.7**	—

29. Should the Security Council extend the mandate of the Panel of Experts on Liberia beyond 16 December 2011 and should the Panel operate for 11 months in 2012 as it did in 2011, the estimated requirements for 2012 would amount to $641,700 net. That amount would provide for the fees ($361,100) and official travel ($237,800) of the three members of the Panel and two consultants and for other operational and logistical support requirements, such as communications, information technology equipment and maintenance, and miscellaneous supplies and services ($42,800).

30. The anticipated unencumbered balance for 2010-2011 is due to a consultancy provision not being used, leading to savings under fees as well as travel; to a delay in the appointment of two new experts who were not immediately available; and to the average fees of the experts being lower than budgeted.

C. Group of Experts on Côte d'Ivoire

($1,319,400)

Background, mandate and objective

31. The Group of Experts on Côte d'Ivoire was established by the Security Council in its resolution 1584 (2005). The mandate of the Group has been extended by the Council several times, most recently by resolution 1980 (2011) until 30 April 2012.

32. The Group assists the Security Council Committee established pursuant to resolution 1572 (2004) concerning Côte d'Ivoire in overseeing the sanctions regime and reports to the Council through the Committee. The Group of Experts consists of five members with expertise in arms, diamonds, finance, customs and regional issues, and is mandated to undertake the following tasks in accordance with paragraph 7 of resolution 1727 (2006), as renewed by paragraph 13 of resolution 1980 (2011):

(a) To exchange information with the United Nations Operation in Côte d'Ivoire (UNOCI) and the French forces in the context of their monitoring mandate set out in paragraphs 2 and 12 of Council resolution 1609 (2005);

(b) To gather and analyse all relevant information in Côte d'Ivoire and in other countries, in cooperation with the Governments of those countries, on flows of arms and related materiel, on the provision of assistance, advice or training related to military activities, on networks operating in violation of the measures imposed by paragraph 7 of resolution 1572 (2004) and on the sources of financing, including

from the exploitation of natural resources in Côte d'Ivoire, for purchases of arms and related materiel;

(c) To consider and recommend, where appropriate, ways of improving the capabilities of States, in particular those in the region, to ensure the effective implementation of the measures imposed by paragraph 7 of resolution 1572 (2004) and paragraph 6 of resolution 1643 (2005);

(d) To seek further information regarding the action taken by States with a view to implementing effectively the measures imposed by the Council in paragraph 6 of resolution 1643 (2005);

(e) To keep the Committee regularly updated on its activities;

(f) To provide the Committee in its reports with evidence of any violations of the measures imposed by paragraph 7 of resolution 1572 (2004) and paragraph 6 of resolution 1643 (2005);

(g) To cooperate with other relevant groups of experts, in particular that established on Liberia by resolutions 1521 (2003) and 1579 (2004);

(h) To monitor the implementation of the individual measures set out in paragraphs 9 and 11 of resolution 1572 (2004).

Cooperation with other entities

33. In carrying out its mandate, the Group of Experts on Côte d'Ivoire exchanged information with UNOCI and the French forces. The Group also cooperated with other similar groups established by the Security Council, notably the Panel of Experts on Liberia. The Group also sought information from banks and other private financial institutions to verify the implementation of financial restrictions imposed by the Council in its resolution 1572 (2004). In Burkina Faso, the Group liaised with the United Nations Resident Coordinator. It also cooperated with, and sought the assistance of, United Nations agencies and regional and intergovernmental organizations, such as the Agency for the Safety of Aerial Navigation in Africa, the Central Bank of West African States, ECOWAS, the International Monetary Fund, INTERPOL, the Kimberley Process and the World Bank. The Group also benefited from the logistical support made available by various UNDP offices.

Performance information

34. During the first four months of 2011, the Group acquired physical evidence suggesting a consistent pattern of violations of the arms embargo. In its report of 27 April 2011 (S/2011/272), the Group noted that in the early months of 2011 there were numerous violations of the arms embargo which benefited both sides of the conflict. The forces of Laurent Gbagbo seemed to have been supported by around 4,500 mercenaries, mainly from Liberia. The Group also observed several suspicious flights and sea cargoes in the south. In the north, the former Forces nouvelles consistently received transfers of weapons and ammunition in breach of the sanctions regime. In the area of finance, the Group observed that the financial measures imposed by international and multilateral entities such as the European Union and the West African Economic and Monetary Union had had a severe impact on the former administration's capacity to pay the salaries of civil servants and the military. The Group highlighted the importance of the new Ivorian authorities being

transparent in the administration of State revenues in order to avoid the possible diversion of funds for the purchase of arms and related materiel. In the area of customs, the Group reported that during the post-electoral crisis its experts as well as representatives of UNOCI had had restricted access to seaports, airports and the documentation relating to imports and exports. The weak customs controls by Burkina Faso and Mali contributed to facilitating the flow into Côte d'Ivoire of weapons and ammunition. In the area of diamonds, the Group observed that the production of rough diamonds was increasing and that diamonds had been illegally exported through neighbouring countries, in clear violation of the sanctions regime.

35. The Group's findings, as presented in its official reports and its informal progress reports to the Committee (of 2 and 26 February 2011 on military developments, and of 26 and 28 February and 2 March 2011 concerning possible deliveries of military equipment), provided the Committee with new information and data in relation to the situation of the sanctions regime, highlighting possible or actual violations. Pursuant to the Group's recommendations, the Committee addressed letters to Member States and entities directing their attention to relevant findings in the Group's 2011 reports and requesting their views on the Group's findings. Overall, on the basis of the Group's reports, the Security Council was able to take informed decisions in terms of addressing the Ivorian crisis in the spring of 2011, in particular, and in general, refining the sanctions regime with the adoption on 28 April 2011 of resolution 1980 (2011).

Planning assumptions for 2012

36. In 2012, the projected requirements for which are outlined in the present report, the Group of Experts on Côte d'Ivoire will continue to collect information on the implementation by States of the measures imposed by the Security Council, consider ways to improve the capabilities of States to ensure the effective implementation of the measures imposed by the Council in resolution 1572 (2004), and monitor overall compliance with the sanctions regime and report on possible violations.

37. The objective, expected accomplishments and indicators of achievement of the Group of Experts are set out below.

Objective: To ensure the full implementation of Security Council resolution 1572 (2004) and all subsequent related decisions of the Council in connection with the arms embargo, diamond embargo and related travel and financial sanctions measures concerning Côte d'Ivoire

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Committee to States on alleged violations cited by the Group of Experts *Performance measures* 2010: 22 Estimate 2011: 25 Target 2012: 25

	(ii) Number of bilateral meetings between the Chair of the Committee and concerned States to follow up on the Group's reports *Performance measures* 2010: 1 Estimate 2011: 3 Target 2012: 3

Outputs

- Reports to the Committee (2)
- Progress reports to the Committee (6)
- Investigation reports related to the implementation and/or violation of the Council's sanctions provided to the Committee

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Group agreed upon by the Sanctions Committee *Performance measures* 2010: 17 Estimate 2011: 35 Target 2012: 40 (ii) Number of recommendations by the Group of Experts incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: 1 Estimate 2011: 5 Target 2012: 2 (iii) Number of amendments to entries on the Committee's sanctions lists *Performance measures* 2010: 0 Estimate 2011: 5 Target 2012: 2

Outputs

- Recommendations on adjustments to the sanctions regime (40)
- Recommendations concerning new individuals to be listed or updates to the existing sanctions list (5)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2010: 82 Estimate 2011: 70 Target 2012: 70 (ii) Number of laws or decrees adopted by States to implement sanctions measures *Performance measures* 2010: 2 Estimate 2011: 3 Target 2012: 4

Outputs

- Communications to States and entities requesting action or updates relating to compliance with the sanctions measures (10)
- Investigations into the compliance of States and entities with the sanctions regime

External factors

38. The objectives would be achieved on the assumption that States comply with relevant resolutions of the Security Council and cooperate with the Group of Experts and provided that the Group's investigations are unhindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance, savings (deficit)* (3)=(1)-(2)	*Total* (4)	*Non-recurrent* (5)	*Total requirements 2011* (6)	*Variance* (7)=(4)-(6)
Civilian personnel costs	236.2	239.7	(3.5)	123.8	---	118.1	5.7
Operational costs	2 373.8	2 233.4	140.4	1 195.6	18.2	1 184.8	10.8
Total	**2 610.0**	**2 473.1**	**136.9**	**1 319.4**	**18.2**	**1 302.9**	**16.5**

39. Should the Security Council extend the mandate of the Group of Experts on Côte d'Ivoire beyond 30 April 2012 and should the Group operate for 11 months in 2012, the estimated requirements for 2012 would amount to $1,319,400 net ($1,343,200 gross). That amount would provide for salaries and common staff costs for one P-3 level position to provide substantive backstopping and support to the members of the Group ($123,800); fees ($488,800) and official travel ($577,700) of the five members of the Group; official travel of staff ($75,500); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($53,600).

40. The variance between the 2012 requirements and the 2011 budget is due mainly to the acquisition of specialized software required by the Group for the analysis of complex and large volumes of data.

41. The anticipated unencumbered balance for 2010-2011 is due to a shorter period of work than anticipated (10 months instead of 11 months) due to the delay in the appointment of the experts following the renewal of the mandate in April 2011.

Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field/ Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2011	—	—	—	—	—	—	1	—	**1**	—	—	**1**	—	—	—	**1**
Proposed 2012	—	—	—	—	—	—	1	—	**1**	—	—	**1**	—	—	—	**1**
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

42. In 2012, there will be no change to the approved staffing structure of the Group of Experts on Côte d'Ivoire.

D. Group of Experts on the Democratic Republic of the Congo

($1,546,300)

Background, mandate and objective

43. The Group of Experts on the Democratic Republic of the Congo was established by the Security Council in its resolution 1533 (2004). The mandate of the Group has been extended by the Council several times, most recently by resolution 1952 (2010) until 30 November 2011. In paragraph 5 of that resolution, the Security Council requested the Secretary-General to extend the mandate of the Group of Experts until 30 November 2011, with the addition of a sixth expert on natural resources issues and requested the Group to report to the Council in writing, through the Committee, by 18 May 2011 and again before 17 October 2011.

44. The role of the Group of Experts is to monitor the implementation and violations of the arms embargo and the associated targeted sanctions regime,

reporting to the Security Council Committee that was also established by resolution 1533 (2004). On the basis of its findings, the Group of Experts can recommend individuals and entities for designation by the Committee for the travel ban and the assets freeze. The scope for such recommendation extends to individuals or entities providing support to armed groups, leaders of armed groups obstructing the disarmament and voluntary repatriation or resettlement of combatants, and individuals committing serious violations of international law involving the targeting of children or women in situations of armed conflict.

45. The mandate of the Group is derived from Security Council resolutions 1807 (2008), 1857 (2008) and 1952 (2010). Its tasks pursuant to those resolutions may be summarized as follows:

(a) To examine and analyse information gathered by the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) in the context of its monitoring mandate and share with MONUSCO, as appropriate, information that might be of use to the Mission's monitoring mandate;

(b) To cooperate with Governments to gather and analyse all relevant information on flows of arms and related materiel, and on networks operating in violation of the embargo by providing arms, military or financial assistance to non-governmental entities and individuals operating in the Democratic Republic of the Congo;

(c) To focus its activities on areas affected by the presence of illegal armed groups, including the provinces of North and South Kivu and Orientale Province, as well as on regional and international networks providing support to illegal armed groups, criminal networks and perpetrators of serious violations of international humanitarian law and human rights abuses, including those within the national armed forces, operating in the eastern part of the Democratic Republic of the Congo;

(d) To report on the implementation of measures to enforce the arms embargo and related targeted sanctions, with recommendations in that regard, including information on the sources of financing, such as from natural resources, which are funding the illicit trade in arms;

(e) To recommend ways of improving the capabilities of States to ensure that the arms embargo measures are effectively implemented;

(f) To provide the Committee with a list, with supporting evidence, of those found to have violated the terms of the embargo and those found to have supported them in such activities, for possible future measures by the Council;

(g) To assist the Committee in its designation of the following individuals and entities, and in compiling and updating the narrative summaries of publicly available reasons for designation: persons or entities acting in violation of the arms embargo; political and military leaders of foreign armed groups operating in the Democratic Republic of the Congo who impede the disarmament and voluntary repatriation or resettlement of combatants belonging to those groups; political and military leaders of Congolese militias receiving support from outside the Democratic Republic of the Congo who impede the participation of their combatants in disarmament, demobilization and reintegration processes; political and military

leaders operating in the Democratic Republic of the Congo and recruiting or using children in armed conflicts in violation of applicable international law; individuals operating in the Democratic Republic of the Congo and committing serious violations of international law targeted at children or women in situations of armed conflict, including killing and maiming, sexual violence, abduction and forced displacement; individuals obstructing access to or the distribution of humanitarian assistance in the eastern part of the Democratic Republic of the Congo; individuals or entities supporting illegal armed groups in the eastern part of the Democratic Republic of the Congo through illicit trade of natural resources;

(h) To evaluate the implementation of due diligence guidelines for importers, processing industries and consumers of Congolese mineral products, as set out in the final 2010 report of the Group of Experts (S/2010/596), and to continue its collaboration with relevant forums.

46. In its final report of 29 November 2010 (S/2010/596), the Group of Experts recommended that the Security Council and the Sanctions Committee encourage the International Conference on the Great Lakes Region and regional States to continue to regularly publish their full import and export statistics for natural resources, including gold, cassiterite, coltan, wolframite and timber. The Group also recommended that the Security Council endorse the Group's recommendations on guidelines for due diligence called for in paragraph 7 of resolution 1896 (2009), and call upon Member States, in particular the Democratic Republic of the Congo, neighbouring countries and countries whose companies are active in the mining sector of the Democratic Republic of the Congo to take appropriate legal measures to incorporate the due diligence guidelines into national legislation. The Group also recommended that the Security Council call upon MONUSCO, as it continues to provide conditional support to the Congolese armed forces in compliance with the provisions of resolution 1925 (2010), to pay due attention to the risks of working with commanders known to be involved in the illegal exploitation of natural resources, and to strengthen the Mission's information gathering around mining sites and important minerals trading centres; and that the Council mandate MONUSCO to further strengthen its support to the justice system in the Democratic Republic of the Congo by including specific training of prosecutors in the investigation of economic crimes, and provide MONUSCO with the capacity to support investigations by the Military Prosecutor's Office of the Democratic Republic of the Congo of economic crimes committed by military personnel. The Group further recommended that the Security Council encourage the Government of the Democratic Republic of the Congo to take specific action regarding the justice system and the disarmament, demobilization, and repatriation of combatants.

47. In its interim report of 12 May 2011 (S/2011/345), the Group of Experts recommended that the Sanctions Committee review, revise and update at the earliest opportunity its list of individuals and entities designated for targeted sanctions on the basis of information provided by the current Group of Experts and its predecessors, as well as other sources; and that the Committee request Member States to provide more detailed and complete information in their notifications of arms transfers to the Democratic Republic of the Congo, in line with the Group's recommendations in its 2010 interim report (S/2010/252) and the guidelines of the Committee, especially regarding small arms and light weapons. The Group also recommended that the Committee publish translations of the due diligence guidelines in all United Nations languages on the Committee's website; further encourage all Member States to convey

the guidelines to importers, processing industries and consumers of mineral products under their jurisdiction; and encourage Member States to transmit relevant information to the Group of Experts on the basis of its mandate and not only in response to the Group's official enquiries.

Cooperation with other entities

48. In carrying out its mandate, the Group of Experts on the Democratic Republic of the Congo works closely with MONUSCO, which was mandated by the Council to monitor the implementation of the arms embargo and to share information with the Group of Experts. In the course of its 2011 mandate, the Group has met officials of the Government of the Democratic Republic of the Congo, including the Vice-Prime Minister and Minister of the Interior, presidential security advisors, the President's Special Envoy and the Permanent Representative of the Democratic Republic of the Congo to the United Nations, as well as numerous provincial and local authorities. The Group is also in close contact with INTERPOL, UNODC and the International Conference on the Great Lakes Region. In addition, the Group has exchanged information with the groups of experts on Somalia, the Sudan, Côte d'Ivoire and the Libyan Arab Jamahiriya. Furthermore, the Group of Experts, the Organization for Economic Cooperation and Development (OECD) and the International Conference on the Great Lakes Region jointly hosted a meeting on 5 and 6 May 2011 in Paris on the implementation of due diligence guidelines of OECD and the United Nations. The meeting enabled useful discussions to take place between a wide range of stakeholders, including representatives of Governments, international organizations, civil society and industry bodies and companies, concerning due diligence implementation and appropriate ways to monitor that implementation.

49. Aside from substantive collaboration with MONUSCO, the Group of Experts benefits from administrative synergies with the Mission, which assists the Group by providing it with office space in Goma, with ground and air transportation, and with an armed escort for special field missions, and by making travel arrangements. The Executive Office of the Department of Political Affairs continues to provide administrative support for the Group, such as by issuing of contracts, processing of payments and making travel arrangements. The Group also benefits from administrative services made available by local MONUSCO offices in the region and UNDP offices in Africa.

Performance information

50. The Security Council expressed satisfaction with the quality of the final report of the Group of Experts (S/2010/596), as well as the Group's interim report (S/2010/252). Security Council members in particular welcomed the quality and tone of the Group's 2010 final report, including its recommendations on due diligence guidelines, as well as the Group's efforts to consult with the authorities of the Democratic Republic of the Congo and other authorities in the Great Lakes region. Similarly, the Group's 2011 interim report was described as "useful", "extremely well-prepared and documented", "with constructive recommendations" by Council members. Also commended was the Group's adherence to the evidentiary standards recommended by the Informal Working Group of the Security Council on General Issues of Sanctions in its 2006 report (S/2006/997), particularly the provision of detailed and exhaustive annexes.

51. In paragraph 7 of its resolution 1952 (2010), the Security Council supported taking forward the Group of Experts' recommendations on guidelines for due diligence for importers, processing industries and consumers of Congolese mineral products to mitigate the risk of further exacerbating the conflict in the eastern part of the Democratic Republic of the Congo by providing direct or indirect support to illegal armed groups, those found to violate the asset freeze and travel ban on sanctioned individuals and entities, and criminal networks and perpetrators of serious violations of international humanitarian law and human rights abuses, including those within the national armed forces.

52. The 2010 final report of the Group of Experts (S/2010/596) highlighted the involvement of certain criminal networks within the Congolese armed forces in the illegal exploitation of natural resources, through illegal taxation, protection rackets and various forms of commercial and coercive control. That involvement, which President Kabila had publicly condemned, had led to pervasive insubordination, competing chains of command and failure to actively pursue armed groups and protect civilians. In the report, the Group also observed that, though forced to concede most of the main mining sites in the Kivus to the Congolese armed forces, Congolese and foreign armed groups continued to control natural resources in more remote areas and increasingly relied on intermediaries and predatory attacks to profit from the mineral trade. In its 2011 interim report (S/2011/345), the Group indicated that it was focusing its work on three main issues: the action of armed groups in the eastern part of the Democratic Republic of the Congo; natural resources; and updating the list of individuals and entities subject to targeted sanctions.

53. Positive action was taken by the Sanctions Committee with respect to all 15 recommendations contained in the Group's 2010 final and 2011 interim reports, either by taking them up in Security Council resolution 1952 (2010), by which the Council extended the sanctions regime and the mandate of the Group of Experts until 30 November 2011, or by sending out notes verbales and letters. The Committee dispatched over 30 official communications in 2010 to various Member States and intergovernmental organizations in connection with the Group's 2010 final report, as well as a note verbale to all Member States providing an overview of the report. A letter from the Committee Chair to the Permanent Representative of the Democratic Republic of the Congo and a note verbale to all Member States were similarly transmitted following the issuance of the Group's 2011 interim report.

54. On 31 August 2010, the Committee updated its list of individuals and entities subject to the measures imposed by paragraphs 13 and 15 of resolution 1596 (2005), as renewed by paragraph 3 of resolution 1896 (2009) on the basis of information provided in the reports of the Group of Experts, the report of the Security Council mission to the Democratic Republic of the Congo in May 2010 (S/2010/288) and a letter addressed to the Committee in November 2009 by the Special Representative of the Secretary-General for Children and Armed Conflict. Additional or updated information was provided for 13 names. On 1 December 2010, the Committee added the names of four individuals to the list of individuals and entities subject to the travel ban and assets freeze. On 8 July 2011, on the basis of updates proposed by the Group of Experts, the Committee updated information on 26 of the 30 individuals and entities on the sanctions list.

Planning assumptions for 2012

55. In 2012, the projected requirements for which are outlined in the present report, the Group of Experts on the Democratic Republic of the Congo will collect information on the implementation by States of the measures imposed by the Security Council; investigate and analyse information regarding the flow of arms and the operation of networks in violation of relevant measures imposed by the Council; and make recommendations for consideration by the Council on future action to be taken, including on individuals who commit serious violations of international law targeting children and women, on political and military leaders of armed groups who prevent their combatants from disarming, on individuals obstructing access to or the distribution of humanitarian assistance in the eastern part of the Democratic Republic of the Congo, and on individuals or entities supporting the illegal armed groups in the eastern part of the country through the illicit trading of natural resources. The Group will also continue to evaluate the implementation of due diligence guidelines for importers, processing industries and consumers of Congolese mineral products referred to in resolution 1952 (2010) and continue its collaboration with relevant forums.

56. The objective, expected accomplishments and indicators of achievement of the Group of Experts are set out below.

Objective: To ensure the full implementation of Security Council resolution 1533 (2004) and all subsequent related decisions of the Council in connection with the arms embargo on non-governmental entities and individuals in the Democratic Republic of the Congo, including indirect support to such entities and individuals through the exploitation and trafficking of natural resources

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) Number of official communications from the Committee to States on alleged violations cited by the Group of Experts
	Performance measures
	2010: 67
	Estimate 2011: 70
	Target 2012: 70

Outputs

- Reports to the Committee (2)
- Investigation reports relating to the implementation and/or violation of the Council's sanctions provided to the Committee

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Group agreed upon by the Committee *Performance measures* 2010: 18 Estimate 2011: 30 Target 2012: 30 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: 9 Estimate 2011: 5 Target 2012: 7 (iii) Number of amendments to entries on the Committee's sanctions list *Performance measures* 2010: 17 Estimate 2011: 39 Target 2012: 40

Outputs

- Recommendations on adjustments to the sanctions regime (25)
- Recommendations concerning new individuals to be listed or updates to the existing sanctions list (25)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2010: 32 Estimate 2011: 80 Target 2012: 85

(ii) Number of laws or decrees adopted by States to implement sanctions measures

Performance measures

2010: 9

Estimate 2011: 5

Target 2012: 5

Outputs

- Communications to States and entities requesting action or updates relating to compliance with the sanctions measures (15)
- Investigations into the compliance of States and entities with the sanctions regime

External factors

57. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Group of Experts and provided that the Group's investigations are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
	Appropriations	*Estimated expenditure*	*Variance, savings (deficit)*	*Total*	*Non-recurrent*	*Total requirements 2011*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)*	*(6)*	*(7)=(4)-(6)*
Civilian personnel cost	241.0	267.1	(26.1)	163.5	—	120.5	43.0
Operational costs	2 537.5	2 472.0	65.5	1 382.8	15.0	1 327.4	55.4
Total	**2 778.5**	**2 739.1**	**39.4**	**1 546.3**	**15.0**	**1 447.9**	**98.4**

58. Should the Security Council extend the mandate of the Group of Experts on the Democratic Republic of the Congo beyond 30 November 2011 and should the Group operate for 11 months in 2012 as it did in 2011, the estimated requirements for 2012 would amount to $1,546,300 net ($1,567,900 gross). That amount would provide for salaries and common staff costs for one P-3 position to provide substantive backstopping and support to the members of the Group ($163,500); fees ($480,000) and official travel ($703,400) of the six members of the Group; official travel of staff ($98,900); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($100,500).

59. The variance between the 2012 requirements and the 2011 budget is due to the entitlements of the incumbent of the position being higher than budgeted in 2011 as a new Political Affairs Officer was recruited in 2010; to the addition of a sixth

expert to the Group; and to the acquisition of specialized software required by the Group for the analysis of complex and large-volume data.

60. The anticipated unencumbered balance for 2010-2011 is due mainly to delays in the appointment of some members of the Group of Experts as four of the six experts were being appointed for the first time.

Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2011							1		1			1				1
Proposed 2012							1		1			1				1
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

61. In 2012, there will be no change in the approved staffing structure of the Group of Experts on the Democratic Republic of the Congo.

E. Panel of Experts on the Sudan

($1,846,300)

Background, mandate and objective

62. The Panel of Experts on the Sudan was established under Security Council resolution 1591 (2005), by which the Council requested the Secretary-General to appoint for a period of six months a panel comprising four members to be based in Addis Ababa, which would operate under the direction of the Security Council Committee established pursuant to the same resolution and carry out the tasks assigned in paragraph 3 (b) of the resolution. The mandate of the Panel of Experts has been extended by the Council several times, most recently by resolution 1982 (2011) until 19 February 2012.

63. The current mandate of the Panel of Experts, to which a fifth member was appointed pursuant to Council resolution 1713 (2006), is as follows:

(a) To assist the Security Council Committee in monitoring the implementation of the measures in paragraphs 3 (d), 3 (e) and 7 of resolution 1591 (2005) and paragraphs 7 and 8 of resolution 1556 (2004), namely the travel ban, the assets freeze and the arms embargo, and to make recommendations to the Committee on actions the Council might wish to consider;

(b) To provide a midterm briefing on its work to the Committee no later than 31 March 2011, and an interim report no later than 90 days after the adoption of resolution 1945 (2010) and a final report no later than 30 days prior to the termination of its mandate to the Council through the Committee with its findings and recommendations;

(c) To coordinate its activities as appropriate with the operation of the African Union-United Nations Hybrid Operation in Darfur (UNAMID) and with international efforts to promote the political process in Darfur and to assess in its interim and final reports progress towards reducing violations by all parties of the measures imposed by paragraphs 7 and 8 of resolution 1556 (2004) and paragraph 7 of resolution 1591 (2005), and progress towards removing impediments to the political process, threats to stability in Darfur and the region, violations of international humanitarian and human rights law, or other atrocities, including sexual and gender-based violence, and other violations of the above-mentioned resolutions.

64. The Panel of Experts is also identified by the Security Council as a source of information on individuals who impede the peace process, constitute a threat to stability in Darfur and the region, violate international humanitarian or human rights law or commit other atrocities, violate the measures implemented by Member States in accordance with paragraphs 7 and 8 of resolution 1556 (2004) and paragraph 7 of resolution 1591 (2005) or are responsible for offensive military overflights, as described in paragraph 6 of resolution 1591 (2005).

65. In 2010, the Panel undertook field work in the Sudan, including visits to Darfur, and interactions with Government officials, the United Nations Mission in the Sudan (UNMIS) and UNAMID, international staff of various organizations working in Darfur, interested Member States and civil society. The Panel also travelled to Chad, Germany, Kenya, Lebanon, Qatar and the United Kingdom of Great Britain and Northern Ireland for meetings with Government officials and other stakeholders. Thus far in 2011, the Panel has undertaken field work in the Sudan and has also travelled to various other countries, including Chad, France, Qatar, Uganda and the United Arab Emirates.

Cooperation with other entities

66. In carrying out its mandate, the Panel of Experts on the Sudan seeks the cooperation and assistance of Government authorities, non-governmental and international organizations, private entities and civil society. In Darfur, in particular, it relies on the cooperation and assistance of UNAMID.

67. The Panel of Experts is based in Addis Ababa at the headquarters of the Economic Commission for Africa (ECA), which assists the Panel by providing office space and access to information and communications technology equipment, securing ground transportation and making travel arrangements, particularly in regard to regional travel, including obtaining visas and security clearances, as well as assisting with other administrative arrangements. The Executive Office of the Department of Political Affairs continues to provide administrative support to the Panel, such as issuing contracts, processing payments and making travel arrangements.

Performance information

68. In 2011, the Panel submitted an interim report on 30 March 2011. The Coordinator of the Panel also delivered a midterm briefing to the Committee. The Panel is expected to submit its final report, pursuant to resolution 1982 (2011), by 19 January 2012. The Panel's findings and recommendations serve to assist the Security Council in gaining a fuller picture of the conflict in Darfur and to fine-tune

its approach accordingly. For example, in response to the 2010 findings of the Panel, the Security Council, in its resolution 1945 (2010), strengthened the enforcement of the arms embargo in relation to Darfur. It also decided that all States should make the supply of arms and related materiel to the Sudan not prohibited by the embargo conditional upon the necessary end-user documentation. Additionally, again in response to prior findings, the Security Council in the same resolution highlighted the responsibilities of private-sector actors in conflict-affected areas.

Planning assumptions for 2012

69. In 2012, the projected requirements for which are outlined in the present report, the Panel of Experts on the Sudan will continue to collect information on the implementation by States of the measures imposed by the Security Council and possible violations, make recommendations to the Committee on future action that the Council may wish to consider and coordinate its activities with UNAMID and with international efforts to promote the political process in Darfur. The Panel will also continue to serve as a source of information on individuals who, on the basis of the criteria contained in resolution 1591 (2005), could possibly be designated as subject to the travel ban and assets freeze.

70. The objective, expected accomplishments and indicators of achievements of the Panel of Experts are set out below.

Objective: To ensure the enforcement of the sanctions measures imposed by Security Council resolutions 1556 (2004) and 1591 (2005)

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to adjust the sanctions regime	(a) (i) Number of recommendations made by the Panel agreed upon by the Committee *Performance measures* 2010: 1 Estimate 2011: 0 Target 2012: 3 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: 2 Estimate 2011: 0 Target 2012: 3

Outputs

- Reports to the Security Council, through the Committee (2)
- Midterm briefing to the Committee (1)

Expected accomplishments	Indicators of achievement
(b) Improved compliance by States with the sanctions measures	(b) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2010: 17 Estimate 2011: 45 Target 2012: 30

Outputs

- Written communications to States and entities enquiring about compliance-related issues (50)

External factors

71. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts on the Sudan and provided that the activities of the Panel are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
	Appropriation	*Estimated expenditure*	*Variance, savings (deficit)*	*Total*	*Non-recurrent*	*Total requirements 2011*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)*	*(6)*	*(7)=(4)-(6)*
Civilian personnel costs	217.0	217.0	—	117.8	—	108.7	9.1
Operational costs	3 304.7	3 293.5	11.2	1 728.5	20.2	1 694.0	34.5
Total	**3 521.7**	**3 510.5**	**11.2**	**1 846.3**	**20.2**	**1 802.7**	**43.6**

72. Should the Security Council extend the mandate of the Panel of Experts on the Sudan beyond 19 February 2012 and should the Panel operate for 11 months in 2012 as it did in 2011, the estimated requirements for 2012 would amount to $1,846,300 net ($1,867,800 gross). That amount would provide for salaries and common staff costs for two positions (one P-3 and one General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($117,800); fees ($876,200) and official travel ($726,700) of the five members of the Panel, one consultant and two translators; and other operational and logistical support requirements, such as the rental of office space, the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($125,600).

73. The variance between the 2012 requirements and the 2011 budget is due mainly to an increase in the average fees of the experts and language consultants

and to the acquisition of specialized software required by the panel for the analysis of complex and large-volume data.

74. The anticipated unencumbered balance for 2010-2011 is due mainly to a lower rental cost for office space charged by ECA, mostly offset by the average fees of the experts being higher than budgeted.

Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2011	—	—	—	—	—	—	1	—	1	—	1	2	—	—	—	2
Proposed 2012	—	—	—	—	—	—	1	—	1	—	1	2	—	—	—	2
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

75. In 2012, there will be no change in the approved staffing structure of the Panel of Experts on the Sudan.

F. Panel of Experts on the Democratic People's Republic of Korea

($2,790,300)

Background, mandate and objective

76. The Panel of Experts on the Democratic People's Republic of Korea was established pursuant to Security Council resolution 1874 (2009), by which the Council requested the Secretary-General to create for an initial period of one year a group of up to seven experts, acting under the direction of the Security Council Committee established pursuant to resolution 1718 (2006), to carry out the tasks assigned in paragraph 26 of resolution 1874 (2009). The Panel became operational on 14 September 2009 and its mandate was last extended, until 12 June 2012, by resolution 1985 (2011).

77. The seven-member Panel of Experts monitors violations of the measures imposed by the Security Council in resolutions 1718 (2006) and 1874 (2009). According to its mandate, the Panel of Experts shall:

(a) Assist the Security Council Committee in carrying out its mandate as specified in resolution 1718 (2006) and the functions specified in paragraph 25 of resolution 1874 (2009);

(b) Gather, examine and analyse information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures imposed in resolutions 1718 (2006) and 1874 (2009), in particular incidents of non-compliance;

(c) Make recommendations on actions the Council, the Committee or Member States may consider to improve the implementation of the measures imposed by resolutions 1718 (2006) and 1874 (2009);

(d) Provide to the Committee no later than 12 November 2011 a midterm report on its work and submit it to the Council no later than 12 December 2011; and provide a final report to the Committee no later than 30 days prior to the termination of its mandate with its findings and recommendations.

78. The Panel has been active in supporting the Committee's outreach, dialogue, assistance and cooperation activities, including by assisting the Committee in drafting informal guidelines for Member States on luxury goods and on the preparation of national implementation reports, as well as by providing specific guidance when requested by Member States. On 10 August 2010, the Committee approved and issued a first implementation assistance notice to assist Member States in carrying out their obligations pursuant to provisions of Security Council resolutions 1718 (2006) and 1874 (2009). On 21 January 2011, the Committee approved a second implementation assistance notice aimed at assisting Member States in preparing and submitting reports on measures they have taken to implement certain provisions of resolutions 1718 (2006) and 1874 (2009). Since the beginning of 2010, the members of the Panel have participated in nine conferences and seminars where they presented the Security Council measures and invited non-reporting or late-reporting Member States to submit their national implementation reports as soon as possible. On 20 December 2010, the Panel participated in an open briefing of the wider United Nations membership carried out by the Chair of the Committee to inform Member States about the activities of the Committee and the Panel of Experts.

79. On 10 November 2010, the Panel submitted its midterm report to the Security Council pursuant to resolution 1928 (2010). The report highlighted the results of more intense and recent investigations into the implementation of sanctions by Member States and the evasion of Sanctions by the Democratic People's Republic of Korea and presented several tasks that the Panel planned to undertake in following up its previous recommendations. As requested by the Committee on 6 December 2010, the Panel submitted to it on 28 January 2011 a report entitled "Assessing the recent nuclear programme developments in the Democratic People's Republic of Korea". On 12 May 2011 (S/2010/571), the Panel submitted its final report to the Security Council pursuant to resolution 1928 (2010). It provided information on the findings, in particular on incidents of non-compliance, made by the Panel during the reporting period and 24 recommendations on actions that the Security Council, the Committee or Member States might consider to improve the implementation of the measures contained in resolutions 1718 (2006) and 1874 (2009).

Cooperation with other entities

80. In the performance of its mandated duties, the Panel of Experts cooperates with and seeks information from Government authorities and diplomatic missions of countries that have potential information about violations of the sanctions regime. Since June 2010, the Panel has interacted with several States regarding the implementation of the Council's relevant sanctions measures. In addition to their meetings with representatives of several missions to the United Nations in New York, members of the Panel visited Austria, Israel, Japan, Thailand, the Republic of Korea, the United Arab Emirates and the United States of America. The Panel also cooperates with bilateral and multilateral agencies, other United Nations bodies and other relevant parties. In 2010 and 2011, the Panel benefited from cooperation with IAEA, IMO, ICAO, the International Air Transport Association (IATA), WCO and

INTERPOL. Reports on those visits were provided to the Committee. The increasing level of cooperation with international and regional organizations is expected to further improve information sharing. In the future, the Panel may, as relevant, seek to develop further its cooperation with IMO, ICAO, WCO and other relevant parties, in particular on the issue of the shipping to and from the Democratic People's Republic of Korea of prohibited items.

Performance information

81. The Panel's findings and recommendations, contained in its final report (S/2010/571) submitted to the Security Council on 12 May 2011, serve to assist the Council in taking more informed decisions relating to the sanctions measures by providing it with a fuller picture of the challenges associated with the implementation of the sanctions regime. More specifically, the Panel examined in detail several cases of reported violations of Security Council resolutions. The recommendations deal with monitoring and oversight, nuclear and other weapons of mass destruction and ballistic missile programmes, export-related measures, luxury goods, and the interdiction and designation of goods and entities. The recommendations, should the Council wish to act on them, could contribute to facilitating, and providing guidance to Member States, on the implementation of the relevant Security Council resolutions, including through the preparation of implementation assistance notices. In total, the Panel made more than 40 actionable recommendations to the Council, the Committee and Member States aimed at improving the implementation of the sanctions measures imposed by resolutions 1718 (2006) and 1874 (2009). As requested by the Committee, the Panel also produced a set of implementation assistance notices that may be helpful to Member States in improving their national implementation mechanisms.

82. In 2010 and 2011, the Panel of Experts interacted with an increased number of States regarding the implementation of the Council's relevant sanctions measures. From May 2010, the Panel travelled to seven States to conduct investigations concerning alleged violations and/or to discuss issues relating to the implementation of the sanctions regime. Through its investigations and in-depth correspondence and dialogue with States, the Panel assisted States in better understanding and implementing the measures imposed by resolutions 1718 (2006) and 1874 (2009).

Planning assumptions for 2012

83. In 2012, the projected requirements for which are outlined in the present report, the Panel will continue to carry out its mandated activities, in particular by monitoring the implementation of the measures imposed by resolutions 1718 (2006) and 1874 (2009). The Panel will collect information on and monitor the implementation by States of the measures imposed by the Council, conduct extensive field work and on-site investigations of reported alleged violations and make recommendations thereon. It will continue to submit to the Committee regular reports on its activities. It is also expected to submit to the Council an interim and a final report on its activities that would include specific recommendations.

84. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To ensure that the Democratic People's Republic of Korea abandons all nuclear weapons and its existing nuclear programme and acts strictly in accordance with the obligations applicable to parties under the Treaty on the Non-Proliferation of Nuclear Weapons and the terms and conditions of the International Atomic Energy Agency Safeguards Agreement

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) Number of official communications from the Committee to States on alleged violations cited by the Panel of Experts *Performance measures* 2010: 16 Estimate 2011: 10 Target 2012: 10

Outputs

- Reports to the Security Council (2)
- Investigation reports relating to instances of inspection, seizure and disposal and other incidents connected with non-compliance reported by Member States to the Committee (10)
- Written recommendations on actions the Council, the Committee and Member States may consider to improve the implementation of sanctions measures (10)

Expected accomplishments	Indicators of achievement
(b) Improved compliance by States with the sanctions measures	(b) Number of reports and communications from States and entities informing of compliance-related issues *Performance measures* 2010: 21 Estimate 2011: 25 Target 2012: 25

Outputs

- Country-specific missions (9)
- Outreach events to facilitate the implementation by Member States of relevant resolutions (10)
- Draft implementation assistance notices and other discussion papers containing best practices, guidance or other information that may be used by Member States regarding the implementation of the Council's sanction measures (5)
- Communications with States on the implementation of the Council's sanctions measures (20)

External factors

85. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance, savings (deficit)* (3)=(1)-(2)	*Total* (4)	*Non-recurrent* (5)	*Total requirements 2011* (6)	*Variance* (7)=(4)-(6)
Civilian personnel costs	574.7	548.3	26.4	385.5		314.3	71.2
Operational costs	5 388.3	4 643.6	744.7	2 404.8		2 721.9	(317.1)
Total	**5 963.0**	**5 191.9**	**771.1**	**2 790.3**	—	**3 036.2**	**(245.9)**

86. Should the Security Council extend the mandate of the Panel of Experts on the Democratic People's Republic of Korea beyond June 2012 and should the Panel operate for 12 months in 2012, the estimated requirements for 2012 would amount to $2,790,300 net ($2,858,500 gross). That amount would provide for salaries and common staff costs for four positions (two P-3 and two General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($385,500); fees ($1,416,800) and official travel ($625,800) of the seven members of the Panel; official travel of staff ($113,500); facilities and infrastructure, including rental of premises ($161,300); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($87,400).

87. The variance between the 2012 requirements and the 2011 appropriation results mainly from decreased requirements under travel of consultants and experts due to the discontinuation of the provision for travel of consultants and to the use of alternative means of information gathering, in particular teleconferences and meetings with technical experts in New York, as a substitute for the experts travelling to locations.

88. The anticipated unencumbered balance for 2010-2011 is due mainly to the provision for consultants not being used in 2011 and to the experts undertaking less travel because of the use of alternative means of information gathering.

Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2011	—	—	—	—	—	—	2	—	**2**	—	2	**4**	—	—	—	**4**
Proposed 2012	—	—	—	—	—	—	2	—	**2**	—	2	**4**	—	—	—	**4**
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

89. In 2012, there will be no change in the approved staffing structure of the Panel of Experts on the Democratic People's Republic of Korea.

G. Panel of Experts on the Islamic Republic of Iran

($3,193,600)

Background, mandate and objective

90. The Panel of Experts on the Islamic Republic of Iran was established pursuant to Security Council resolution 1929 (2010), in which the Council requested the Secretary-General to create for an initial period of one year a group of up to eight experts, under the direction of the Security Council Committee established pursuant to resolution 1737 (2006), to carry out the tasks assigned in paragraph 29 of resolution 1929 (2010). On 9 June 2011, the mandate of the Panel was extended by resolution 1984 (2011) for a period of 12 months.

91. The mandate of the Panel of Experts is as follows:

(a) To assist the Security Council Committee in carrying out its mandate as specified in paragraph 18 of resolution 1737 (2006) and paragraph 28 of resolution 1929 (2010);

(b) To gather, examine and analyse information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures decided in resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010), in particular incidents of non-compliance;

(c) To make recommendations on actions the Council, the Committee or a State may consider to improve the implementation of the relevant measures;

(d) To provide to the Council an interim report on its work no later than 90 days after the Panel's appointment and a final report to the Council no later than 30 days prior to the termination of its mandate with its findings and recommendations.

92. The measures decided in resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010) include a proliferation-sensitive nuclear and ballistic missile programmes-related embargo; a ban on the export and procurement of any arms and related materiel from the Islamic Republic of Iran and a ban on the supply of seven specified categories of conventional weapons and related materiel to that country; a

travel ban and an assets freeze on designated persons and entities; an authorization to seize and dispose of items, the transfer of which to or from the Islamic Republic of Iran is prohibited under the relevant resolutions, that are identified in the cargo inspections undertaken pursuant to resolution 1929 (2010); a ban on the provision of bunkering or other servicing of Iranian vessels under the circumstances specified; and the exercise of vigilance when doing business with entities incorporated in the Islamic Republic of Iran, or subject to its jurisdiction, under the circumstances specified.

Cooperation with other entities

93. In carrying out its mandate, in addition to seeking the cooperation and assistance of Member States, the Panel of Experts seeks the cooperation and assistance of IAEA and specialized organizations such as IMO and WCO. The Panel also cooperates with experts from other United Nations organizations, including the Office of Disarmament Affairs, the United Nations Institute for Disarmament Research, the United Nations Conference on Trade and Development, UNODC and, as appropriate, experts working under other Security Council resolutions, including resolutions 1540 (2004) and 1874 (2009). The Panel meets representatives from other international organizations to obtain information concerning the implementation of measures under the relevant Security Council resolutions and related issues. The Panel is in contact with experts from governmental and non-governmental think tanks and universities.

Performance information

94. The Panel's major findings and recommendations, contained in its final report, submitted to the Security Council on 7 May 2011, may serve to assist the Committee and the Council in taking more informed decisions relating to the sanctions measures. More specifically, the Panel examined in detail several cases of reported violations of Council resolutions, in particular incidents in breach of paragraph 5 of resolution 1747 (2007) on the arms embargo. In addition to conventional arms and related materiel, the Panel also studied at length issues relating to nuclear and ballistic missile activities, export control, shipping and transportation sanctions, and financial and business sanctions. In total, the Panel made 30 recommendations on actions the Council or the Committee may consider to improve the implementation of the relevant measures concerning the Islamic Republic of Iran. As requested by the Committee, the Panel also produced a set of implementation assistance notices that may be helpful to Member States in improving their national implementation mechanisms.

95. During the first phase of its mandate, from November 2010 to June 2011, the Panel held consultations with 16 Member States and conducted physical inspections in regard to seven reported incidents of non-compliance. The Panel, through its outreach campaign targeting a wider United Nations membership, helped raise the awareness of Member States on their reporting obligations. In a similar vein, the Panel drafted a guidance paper aimed at helping States improve the quality of their national implementation reports. In carrying out its mandate, the Panel actively sought to broaden its contact with representatives of other international organizations, think tanks and academia to obtain information concerning the implementation of measures decided upon in the relevant Council resolutions.

96. The Panel held a series of outreach meetings with New York-based permanent representatives and missions, and initiated a regional outreach seminar that was held in Dubai, United Arab Emirates on 9 and 10 May 2011, in collaboration with the International Institute for Strategic Studies and supported by the United Kingdom.

Planning assumptions for 2012

97. In 2012, the projected requirements for which are outlined in the present report, the Panel will carry out its mandated activities, in particular by monitoring the implementation of the relevant measures imposed in resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010). The Panel will collect information on and monitor the implementation by States of the measures imposed by the Council and is expected to conduct extensive field work and on-site investigation of reported alleged violations and make recommendations thereon. It is also expected to submit, through the Committee, an interim and a final report on its activities to the Security Council that would include specific recommendations. Particular tasks of the Panel will also include those identified in the Committee's programme of work, which was prepared and approved by the Committee pursuant to resolution 1984 (2011). The programme of work covers compliance, investigations, outreach, dialogue, assistance and cooperation.

98. The Panel is based in New York. The Executive Office of the Department of Political Affairs provides administrative support for the Panel, such as issuing contracts, processing payments and making travel arrangements.

99. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To enforce the relevant measures contained in Security Council resolutions 1737 (2006), 1747 (2007), 1803 (2008) and 1929 (2010) pertaining to the Islamic Republic of Iran

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Committee to States on alleged violations cited by the Panel *Performance measures* 2010: not applicable Estimate 2011: 9 Target 2012: 6 (ii) Number of bilateral meetings between the Chair of the Committee and concerned States to follow up on the Panel's reports *Performance measures* 2010: not applicable Estimate 2011: 6 Target 2012: 6

Outputs

- Investigation reports to the Committee on the violation or implementation of the Council's sanctions measures (6)
- Ninety-day reports to the Security Council (4)
- Reports to the Security Council (2)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Panel agreed upon by the Committee *Performance measures* 2010: not applicable Estimate 2011: 20 Target 2012: 22 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: not applicable Estimate 2011: 5 Target 2012: 5 (iii) Number of amendments to entries on the sanctions lists *Performance measures* 2010: not applicable Estimate 2011: 8 Target 2012: 8

Outputs

- Written recommendations provided to the Committee on actions the Council or the Committee may consider to improve the implementation of the Council's sanctions measures (30)
- Implementation assistance notices provided to the Committee on how States might improve the implementation of the Council's sanctions measures (20)
- Assessments of national implementation reports of States (4)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States with the sanctions measures	(c) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2010: not applicable Estimate 2011: 11 Target 2012: 14 (ii) Number of laws or decrees adopted by States to implement sanctions measures *Performance measures* 2010: not applicable Estimate 2011: 64 Target 2012: 82 (iii) Number of communications from States seeking advice from the Committee and the Panel on ways to improve compliance *Performance measures* 2010: not applicable Estimate 2011: 7 Target 2012: 12

Outputs

- Consultations with States on implementation of the Council's sanctions measures (16)
- Regional outreach seminars on how well States have implemented the Council's sanctions measures (2)
- Technical guidance letters to States on ways to improve implementation of the Council's sanctions measures (6)

External factors

100. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
	Appropriation	*Estimated expenditure*	*Variance, savings (deficit)*	*Total*	*Non-recurrent*	*Total requirements 2011*	*Variance*
Category	*(1)*	*(2)*	*(3)=(1)-(2)*	*(4)*	*(5)*	*(6)*	*(7)=(4)-(6)*
Civilian personnel costs	405.3	405.3	—	475.2	—	405.3	69.9
Operational costs	2 812.4	2 812.4	—	2 718.4	—	2 812.4	(94.0)
Total	**3 217.7**	**3 217.7**	**—**	**3 193.6**	**—**	**3 217.7**	**(24.1)**

101. Should the Security Council extend the mandate of the Panel of Experts on the Islamic Republic of Iran beyond 9 June 2012 and should the Panel operate for 12 months in 2012, the estimated requirements for 2012 would amount to $3,193,600 net ($3,275,400 gross). That amount would provide for salaries and common staff costs for four positions (one P-4, one P-3 and two General Service (Other level)) to provide substantive and administrative support to the members of the Panel ($475,200); fees ($1,677,400) and official travel ($700,900) of the eight members of the Panel; official travel of staff ($105,700); facilities and infrastructure, including the rental of premises ($183,100); and other operational and logistical support requirements, such as the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($51,300).

102. The variance between the 2012 requirements and the 2011 budget is due mainly to the re-evaluation of the requirements for travel of staff in the light of the experience of the first year of operation of the Panel, partly offset by an increased requirement under staffing costs due to the change in the vacancy rate from a 20 per cent vacancy rate in 2011 to a zero vacancy rate in 2012.

Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2011						1	1		**2**		2	**4**				**4**
Proposed 2012						1	1		**2**		2	**4**				**4**
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

103. In 2012, there will be no change in the approved staffing structure of the Panel of Experts on the Islamic Republic of Iran.

H. Panel of Experts on the Libyan Arab Jamahiriya

($2,597,000)

Background, mandate and objective

104. The Panel of Experts on the Libyan Arab Jamahiriya was established pursuant to Security Council resolution 1973 (2011) of 17 March 2011, in which the Council requested the Secretary-General to create, for an initial period of one year, in consultation with the Security Council Committee established pursuant to resolution 1970 (2011), a group of up to eight experts, under the direction of the Committee. The mandate of the Panel under resolution 1973 (2011) ends on 16 March 2012.

105. The mandate of the Panel of Experts is as follows:

(a) To assist the Committee in carrying out its mandate as specified in paragraph 24 of resolution 1970 (2011) and in resolution 1973 (2011);

(b) To gather, examine and analyse information from States, relevant United Nations bodies, regional organizations and other interested parties regarding the implementation of the measures decided upon in resolutions 1970 (2011) and 1973 (2011), in particular incidents of non-compliance;

(c) To make recommendations on actions the Council, the Committee or a State may consider to improve the implementation of the relevant measures;

(d) To provide to the Council an interim report on its work no later than 90 days after the Panel's appointment and a final report to the Council no later than 30 days prior to the termination of its mandate with its findings and recommendations.

106. The measures decided upon in resolutions 1970 (2011) and 1973 (2011) include an arms embargo, which encompasses armed mercenary personnel and for the enforcement of which the Council authorized cargo inspections under specific circumstances; a travel ban; an assets freeze; a ban on all flights of Libyan aircraft; and a requirement to exercise vigilance when doing business with Libyan entities, in the event that such business could contribute to violence and the use of force against civilians.

Cooperation with other entities

107. In carrying out its mandate, in addition to seeking the cooperation and assistance of Member States, the Panel of Experts on the Libyan Arab Jamahiriya is expected to seek the cooperation and assistance of regional and military organizations, such as the League of Arab States, the African Union and the North Atlantic Treaty Organization. Furthermore, the Panel is expected to cooperate with international organizations, such as IMO.

108. The Department of Political Affairs provides the Panel with substantive advice and guidance, including on procedural and historical issues relating to sanctions monitoring panels, as well as support in logistical and administrative matters.

Planning assumptions for 2012

109. In 2012, the projected requirements for which are outlined in the present report, the Panel will carry out its mandated activities, in particular by monitoring the implementation of the relevant measures specified in resolutions 1970 (2011) and 1973 (2011). The Panel will collect information on and monitor the

implementation by States of the measures imposed by the Security Council. If feasible, and subject to the security situation, the Panel will conduct extensive field work and on-site investigation of reported alleged violations and make appropriate recommendations. The Panel will submit an interim and a final report on its activities to the Council that will include specific recommendations.

110. The Panel will be home-based and will be supported by a Political Affairs Officer (P-3) and a Research Assistant (General Service (Other level)) based in New York.

111. The objective, expected accomplishments and indicators of achievement of the Panel of Experts are set out below.

Objective: To enforce the relevant measures contained in Security Council resolutions 1970 (2011) and 1973 (2011) pertaining to the Libyan Arab Jamahiriya

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to adjust the sanctions regime	(a) (i) Number of recommendations made by the Panel agreed upon by the Committee *Performance measures* 2010: not applicable Estimate 2011: 2 Target 2012: 10 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: not applicable Estimate 2011: 0 Target 2012: 5

Outputs

- Investigation reports on alleged violations of the Council's relevant measures provided to the Committee (4)
- Reports to the Security Council (2)

Expected accomplishments	Indicators of achievement
(b) Improved compliance by States with the sanctions measures	(b) (i) Number of communications from States and entities informing of compliance-related issues *Performance measures* 2010: not applicable Estimate 2011: 10 Target 2012: 20

(ii) Number of communications from States seeking advice from the Committee and the Panel on ways to improve compliance

Performance measures

2010: not applicable

Estimate 2011: 20

Target 2012: 20

Outputs

- Written communications to States and entities enquiring about compliance-related issues (30)
- Written recommendations provided to the Committee on how States might improve the implementation of the Council's relevant measures (20)

External factors

112. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			*Requirements for 2012*		*Variance analysis 2011-2012*	
Category	*Appropriation* (1)	*Estimated expenditure* (2)	*Variance, savings (deficit)* (3)=(1)-(2)	*Total* (4)	*Non-recurrent* (5)	*Total requirements 2011* (6)	*Variance* (7)=(4)-(6)
Civilian personnel costs	137.4	68.7	68.7	235.5	—	137.4	98.1
Operational costs	1 533.0	1 406.5	126.5	2 361.5	15.0	1 533.0	828.5
Total	**1 670.4**	**1 475.2**	**195.2**	**2 597.0**	**15.0**	**1 670.4**	**926.6**

113. Should the Security Council extend the mandate of the Panel of Experts beyond March 2012 and should the Panel operate for 12 months in 2012, the estimated requirements for 2012 would amount to $2,597,000 net ($2,636,600 gross). That amount would provide for salaries and common staff costs for two positions to provide substantive and administrative support to the members of the Panel ($235,500); fees ($1,018,100) and official travel ($1,075,000) of the eight members of the Panel; official travel of staff ($144,600); and other operational and logistical support requirements, such as the rental of office space, the rental of vehicles, communications, information technology equipment and maintenance, and other miscellaneous supplies and services ($123,800).

114. The variance between the 2012 requirements and the 2011 budget is due to the fact that the provision for 2012 is based on 12 months of operation while the provision for 2011 is based on 7 months of operation.

115. The anticipated unencumbered balance for 2010-2011 is due mainly to the delay in the recruitment of staff, leading to savings under staff costs and under travel of staff.

Staffing requirements

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2011	—	—	—	—	—	—	1	—	1	—	1	2	—	—	—	2
Proposed 2012	—	—	—	—	—	—	1	—	1	—	1	2	—	—	—	2
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

116. In 2012, there will be no change in the approved staffing structure of the Panel of Experts on the Libyan Arab Jamahiriya.

I. Analytical Support and Sanctions Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities

($4,263,800)

Background, mandate and objective

117. The Analytical Support and Sanctions Monitoring Team was established on 15 March 2004 by the Security Council in its resolution 1526 (2004) as a successor arrangement to the Monitoring Group established by resolution 1363 (2001). The Monitoring Team, composed of eight experts based in New York, assists the Security Council Committee established pursuant to resolutions 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities in the fulfilment of its mandate. As of 17 June 2011, the Monitoring Team also assists the Security Council Committee established pursuant to resolution 1988 (2011). This reflects the decision by the Security Council to split its Al-Qaida and the Taliban sanctions regime into two separate components in order to reflect recent changes in the situation in Afghanistan.

118. The two Committees are presently now tasked with overseeing the implementation by States of the arms embargo, travel ban and assets freeze imposed with respect to members of Al-Qaida and associated individuals and entities (the 1989 Committee), and imposed with respect to individuals and entities associated with the Taliban in constituting a threat to the peace, stability and security of Afghanistan (the 1988 Committee).

119. Since its establishment, the mandates and responsibilities of the Monitoring Team have increased and grown progressively more complex. They now include assisting the Committees in making accessible on their website narrative summaries of the reasons for the listing of all names on the relevant sanctions lists (currently about 500 names); in regularly reviewing the names on the lists; and in preparing

updates to list entries on the basis of those reviews. In addition, the Security Council directed the Monitoring Team to assist the Ombudsperson appointed pursuant to resolution 1904 (2009) in carrying out her functions. With the adoption of resolutions 1988 (2011) and 1989 (2011), the Monitoring Team was asked to submit to the Committee within 90 days a written report and recommendations on linkages between those individuals and entities eligible for designation under paragraph 1 of resolution 1988 (2011) and Al-Qaida, with a particular focus on entries that appear on both the Al-Qaida sanctions list and the list maintained by the 1988 Committee.

120. To support the Committees in the fulfilment of their mandates and with a view to improving the implementation of the measures set out in resolutions 1989 (2011) and 1988 (2011), the Security Council, in paragraph 56 of resolution 1989 (2011), extended the mandate of the Monitoring Team until 31 December 2012. The Council set out the responsibilities of the Team in the annexes to resolutions 1988 (2011) and 1989 (2011), which are, inter alia: to submit two comprehensive, independent reports to the 1267/1989 Committee and to the 1988 Committee, respectively, on the implementation by Member States of the relevant sanctions measures, including specific recommendations for the improved implementation of the measures and possible new measures; to assist the Committees in regularly reviewing names on the relevant sanctions lists; to assist the Committees with analysis of non-compliance with the sanctions measures; to assist the Committees in their consideration of proposals for listing; to bring to the Committees' attention new or noteworthy circumstances that may warrant a de-listing; to present to the Committees additional identifying and other information to assist them in their efforts to keep the lists as up-to-date and accurate as possible; to consult with Member States' intelligence and security services, including through regional forums, in order to facilitate the sharing of information and to strengthen enforcement of the measures; to work with INTERPOL and Member States to obtain photographs of listed individuals for possible inclusion in INTERPOL Special Notices; and to work with relevant international and regional organizations in order to promote awareness of and compliance with the measures.

121. In 2010, the Team visited 15 Member States (including two joint visits with members of other counter-terrorism bodies) and participated in 30 international and regional meetings, seminars, conferences and workshops (including two trips of the Chair of the Committee established pursuant to resolution 1267 (1999)). By the end of June 2011, the Team had visited a further 8 Member States and participated in 22 international and regional meetings, seminars, conferences and workshops in order to promote understanding of the 1267 sanctions regime and improve its implementation. The Team continued to profit from complementarities and synergies with other United Nations bodies.

122. On 31 August 2010, the Team submitted a report (S/2010/497) on the outcome of the review of all the names on the Consolidated List, conducted in accordance with paragraph 25 of resolution 1822 (2008). The report contains an assessment of the lessons learned from the review and a set of recommendations for the conduct of future reviews, as mandated by the Security Council. On 22 February 2011, the Monitoring Team submitted its eleventh report (S/2011/245), which contains an update on the developments in the sanctions regime and a set of specific recommendations on how the Committee can best achieve the purpose of the sanctions measures.

123. In paragraph 20 of its resolution 1904 (2009), the Security Council decided to establish the Office of the Ombudsperson to assist the Security Council Committee established pursuant to resolution 1267 (1999) when it considers requests from individuals and entities seeking removal from the list of sanctioned individuals and entities. The Council requested the Secretary-General, in close consultation with the Committee, to appoint an eminent individual of high moral character, impartiality and integrity, with high qualifications and experience in relevant fields, such as legal, human rights, counter-terrorism and sanctions, to be Ombudsperson.

124. The Office of the Ombudsperson provides an independent mechanism through which a listed person or entity can seek de-listing. The Ombudsperson follows a process involving information gathering, dialogue with the petitioner and ultimately the preparation of a comprehensive report to be presented to the Committee. The mandate of the Ombudsperson provides for enhanced due process in accordance with the fundamental principles set out by the Secretary-General, including a mechanism for independent review of the basis for the listing. An acceptance by national and regional courts that the Ombudsperson addresses the due process principles could reduce the number and intensity of challenges to the sanctions regime and could help to convince States that full participation in the regime will not be at the expense of fundamental rights. The Office of the Ombudsperson was strengthened as a result of the adoption of Security Council resolution 1989 (2011), whereby the Council directed the Ombudsperson to submit recommendations on de-listing petitions received and envisaged the de-listing of individuals recommended by the Ombudsperson unless the Committee decides by consensus to retain the listing or seeks a decision to retain the listing from the Security Council.

125. The functions and tasks of the Ombudsperson are set out in annex II to Security Council resolution 1989 (2011), which describes the process for the consideration of de-listing requests in distinct information gathering, dialogue and Committee discussion/decision phases, and which also includes additional tasks relating to public outreach, notifying individuals and entities of the status of their listing, and general reporting to the Security Council.

Cooperation with other entities

126. Within the United Nations system, the Team interacts closely with the United Nations Assistance Mission in Afghanistan (UNAMA), the Counter-Terrorism Committee, the Counter-Terrorism Committee Executive Directorate and the group of experts that supports the Security Council Committee established pursuant to resolution 1540 (2004). Both in New York and during joint technical missions, experts of the three Committees have continued to coordinate their work and share information in order to further identify complementarities and synergies and avoid duplication while taking full advantage of opportunities to maximize access to key Government officials in relevant States. The three expert groups regularly exchange information, in particular on relevant contacts and focal points. In April 2011, for example, the Monitoring Team participated in a workshop on challenges to effective border control organized by the Counter-Terrorism Committee Executive Directorate in Mauritania for officials from eight States of the Sahel and the Mahgreb subregions, which allowed the Monitoring Team's representative to discuss on the margins of the workshop other issues related to the implementation of the sanctions regime established by Security Council resolution 1267 (1999).

127. Another emerging area of cooperation is the representation by one of the three groups of one or two of the other groups at certain events. For example, the Monitoring Team represented the Counter-Terrorism Committee Executive Directorate at a meeting of the Financial Action Task Force held in Cape Town, South Africa in November 2010. The Counter-Terrorism Committee Executive Directorate represented the Monitoring Team at a meeting of international, regional and subregional organizations to promote the implementation of Security Council resolution 1540 (2004) held in Vienna in December 2010 and at a meeting of the Pacific Islands Forum Working Group on counter-terrorism held in Auckland, New Zealand in May 2011. The Counter-Terrorism Committee Executive Directorate also conveys to Governments, on behalf of the Monitoring Team, requests to submit information and responses to the Committee established pursuant to Security Council resolution 1267 (1999). The Monitoring Team and the other two expert groups continue to coordinate their work within the framework of the Counter-Terrorism Implementation Task Force and to contribute to its work.

128. In 2010 and 2011, the Monitoring Team increased its contacts and cooperation with other expert panels, in particular the Monitoring Group on Somalia and Eritrea, for example by holding a joint meeting in Uganda for the security and intelligence services of eight States of the region in January 2011.

129. In 2010, the Monitoring Team's work continued to benefit from cooperative arrangements with INTERPOL. The Team also continued to heighten the level of cooperation and improve information-sharing with other international and regional organizations. Currently, the Team maintains formal contacts with 22 international and regional organizations and entities (ICAO, IATA, WCO, the Terrorism Prevention Branch of UNODC, the Council of Europe Committee of Legal Advisers on Public International Law, INTERPOL, the Action Against Terrorism Unit of the Organization for Security and Cooperation in Europe (OSCE), the Pacific Islands Forum, the Caribbean Community and Common Market, the Shanghai Cooperation Organization Regional Anti-Terrorism Structure, the Commonwealth of Independent States Anti-Terrorism Centre, the Association of Southeast Asian Nations, the African Union, the Organization of American States Inter-American Committee against Terrorism, the Financial Action Task Force, ECOWAS, the Southern Africa Development Community, the Gulf Cooperation Council, the Organization of the Islamic Conference, the African Union Centre for the Study and Research of Terrorism, the Inter-Governmental Action Group against Money-Laundering in West Africa and the Eastern and Southern African Anti-Money-Laundering Group). The Monitoring Team also regularly convenes regional meetings with intelligence and security agencies.

130. The Ombudsperson interacts with a wide range of entities in relation to her mandate. In addition to interacting with petitioners seeking de-listing, the relevant States (designating States, States of nationality and/or residence) and the Monitoring Team, the Ombudsperson interacts with United Nations officials whose official functions could bring them into contact with listed individuals and entities. Thus, the Ombudsperson has had interactions with officials of UNAMA, the United Nations Political Office for Somalia and the Monitoring Group on Somalia and Eritrea. She has also interacted with other entities that have a strong professional interest in her mandate and work, including the Office of the United Nations High Commissioner for Human Rights and relevant special rapporteurs, the legal advisers of Member States, Government officials, members of the judiciary and parliamentarians, in particular from those States or regions where the Council's relevant sanctions measures have been challenged in courts of law.

Performance information

131. In 2010, as mandated under resolutions 1822 (2008) and 1904 (2009), the Monitoring Team completed the narrative summaries of reasons for the listing of the 488 names that were on the Consolidated List as at 30 June 2008, the date of the adoption of resolution 1822 (2008). In 2010 and 2011, the Team completed the narrative summaries of reasons for the listing of 55 new names placed on the list after 30 June 2008 and assisted the 1267 Committee in its review of names on the List, which resulted in the removal of 45 names and over 400 updates to the remaining entries. This has contributed to the credibility of the List and assisted Member States in implementing the sanctions measures effectively. In 2011, as mandated in resolution 1904 (2009), the Monitoring Team assisted the 1267 Committee in the first review of those individuals on the Consolidated List who are reportedly deceased. This has resulted in the removal of 11 deceased persons from the List and the identification of 6 further names of possibly deceased persons to be brought to the Committee's consideration in the next review. In addition, pursuant to resolution 1904 (2009), the Team has collated information on, identified and submitted to the Committee for review 52 listed entities that are possibly defunct.

132. In 2011, the Monitoring Team presented in its reports numerous actionable recommendations relevant to the 1267 Committee, the Security Council or Member States. Several of its most significant recommendations to the Security Council are reflected in Council resolutions 1988 (2011) and 1989 (2011), including the introduction of a separate sanctions regime to address threats to the peace, stability and security of Afghanistan. In addition, the Team has contributed many improvements to the documents posted on the Committee's website.

133. The Monitoring Team has also taken a lead role in the Secretary-General's Counter-Terrorism Implementation Task Force, in particular on issues concerning terrorist use of the Internet and on countering the appeal of violent extremism. The Team organized a workshop in Riyadh in January 2011 on counter-narratives, at which a range of projects for follow-up were identified, many of which Member States and civil society entities have already taken up. The Team also produced and launched two films on repentant terrorists, in cooperation with Member States and in conjunction with the Department of Public Information. The Team's work with the Counter-Terrorism Implementation Task Force promoted the United Nations as a key partner across a range of counter-terrorist activity.

134. Since the Ombudsperson was appointed by the Secretary-General, on 3 June 2010, she has received 12 de-listing petitions presented by, or on behalf of, 11 individuals and 24 entities. Two of the petitions from individuals sought the de-listing of related entities (23 in one case and 1 in another). Each of these cases involved an information-gathering process which required interaction and follow-up with various States. Independent research has also been conducted and in some cases other sources of information have been pursued. The process has involved a dialogue with the petitioners. The method of the dialogue has varied depending on the facts of the case and has included in-person discussions and the submission of questions and responses by e-mail or letter. In several cases, it was necessary to translate questions and answers into and from a language which the petitioner understands, including languages other than the six official languages of the United Nations.

135. In accordance with annex II to resolution 1989 (2011), each petition requires in-depth analysis of the information gathered, and the preparation and presentation of a comprehensive report to the Committee. Also in accordance with the mandate, the Ombudsperson submitted two reports to the Security Council on the activities of the Office and has fulfilled other requirements, such as sending notification letters to newly listed persons and entities.

136. The Ombudsperson has also taken steps to publicize her Office and to make it accessible to potential petitioners and to the public generally. This has included the development of a website and of handout material for distribution and notification letters to listed individuals. A number of policy documents have also been drawn up to ensure transparency and consistency of approach, including guidelines for the submission of de-listing applications, information on the procedures for handling de-listing requests, as well as an outline of the approach and standards to be applied by the Ombudsperson in assessing de-listing petitions. The Ombudsperson commenced discussions with several States with regard to arrangements or agreements which would allow for the sharing of classified/confidential information with the Ombudsperson. Two such arrangements have been put in place thus far. The Ombudsperson also delivered presentations at various international and regional forums and met with domestic, regional and international judges and other officials involved in work of relevance to the mandate of her Office. For the development of the policy documents and the preparation of presentations, extensive legal research was conducted.

Planning assumptions for 2012

137. In 2012, the projected requirements for which are outlined in the present report, the Monitoring Team will continue to carry out its mandated activities and will also continue to develop its contacts with Member States, in particular with officials most concerned with countering the threat posed by the Taliban and Al-Qaida, in order to provide the Security Council, through the 1267 Committee, with current information on the changing nature of the threat. The Monitoring Team will also continue to work closely with UNAMA to maximize the contribution of the 1267 sanctions regime to the promotion of peace and stability in Afghanistan and in neighbouring countries. The Monitoring Team will continue to contribute to the implementation of the United Nations Global Counter-Terrorism Strategy through the Secretary General's Counter-Terrorism Implementation Task Force.

138. It is anticipated that the number of de-listing petitions presented will increase as the work of the Ombudsperson becomes known and the process more established. The work involved will continue to be labour-intensive, with each petition requiring follow-up with States and the petitioner, independent research and the preparation of detailed reports. Effective dialogue with the petitioner will in some cases require the translation of outgoing and incoming communications and in a few instances the assistance of an interpreter may be required. The Ombudsperson will also continue to fulfil the additional responsibilities of the Office, including sending notifications, where possible, to newly listed individuals and entities. The Ombudsperson will continue to take steps to publicize the existence of the Office, especially to those individuals or entities that might want to present a de-listing petition. Extensive work will be necessary to put in place agreements and arrangements with respect to the disclosure of confidential information.

139. The objective, expected accomplishments and indicators of achievement of the Monitoring Team are set out below.

Objective: To prevent terrorist activities perpetrated by individuals or entities belonging to or associated with Al-Qaida and the Taliban

Expected accomplishments	Indicators of achievement
(a) Improved compliance by States with the sanctions most recently reiterated by the Security Council in resolutions 1988 (2011) and 1989 (2011)	(a) Number of communications from States describing implementation of the sanctions measures or seeking advice on how to comply with the measures *Performance measures* 2010: 122 Estimate 2011: 150 Target 2012: 150

Outputs

- Initiatives reflecting broader engagement of international, regional and subregional organizations with the work of the relevant Committees (5)
- Updated information package for Member States (2)
- Regional meetings for security and intelligence services (3)
- Updated comparative tables on the work of the Committees (1)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of findings and recommendations made by the Team agreed upon by the Committee *Performance measures* 2010: 21 Estimate 2011: 25 Target 2012: 30 (ii) Number of recommendations incorporated by the Security Council in subsequent resolutions *Performance measures* 2010: 5 Estimate 2011: 15 Target 2012: 15

	(iii) Number of amendments to entries on the sanctions lists *Performance measures* 2010: 168 Estimate 2011: 400 Target 2012: 150

Outputs

- Reports to the sanctions Committees (6)
- Recommendations to the Committees and to the Security Council to improve the sanctions regime (30)
- Proposals for amendments to the targeted sanctions lists (100)
- Report on possible cases of non-compliance (1)
- Updated papers on improving the efficacy of the sanctions measures (3)
- Proposals for revision of the Committees' guidelines regarding the conduct of their work (10)
- Proposals for revision of the documents on the Committees' website (15)
- New standard forms for listing submissions, and explanatory notes (2)
- New format for the targeted sanctions lists (2)
- Reports and specific case studies to the Committees on the implementation of or non-compliance with the Council's relevant resolutions (2)
- Survey of the impact of the sanctions regime (1)
- Narrative summaries of reasons for listing names on relevant sanctions lists (35)
- Presentations to the relevant Committees for the review of names on the lists (100)

Expected accomplishments	**Indicators of achievement**
(c) Improved fairness and transparency of the de-listing process of the Al-Qaida sanctions Committee	(c) (i) Number of communications from States and relevant bodies enabling the Ombudsperson to tell petitioners what the case is against them *Performance measures* 2010: 122 Estimate 2011: 168 Target 2012: 200

	(ii) Number of cases of listed individuals and entities under review providing petitioners with the possibility of answering the case against them *Performance measures* 2010: 5 Estimate 2011: 12 Target 2012: 12

Outputs

- Letters to States and relevant bodies seeking in-depth information on de-listing petitions received (100)
- Reports to the Security Council (2)
- Communications to petitioners and listed persons and entities (68)

Expected accomplishments	Indicators of achievement
(d) Improved recourse by listed individuals and entities to an independent and impartial review of their listing	(d) Number of de-listing cases presented to the Committee that include the analysis and observations of the Ombudsperson *Performance measures* 2010: 0 Estimate 2011: 11 Target 2012: 20

Outputs

- Comprehensive case reports in relation to de-listing petitions (9)
- Updated information regarding individuals and entities that have submitted de-listing requests through the Ombudsperson

External factors

140. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Monitoring Team and the Ombudsperson and provided that the gathering of relevant information and its analysis are not hindered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			Requirements for 2012		Variance analysis 2011-2012	
	Appropriation	Estimated expenditure	Variance: savings (deficit)	Total	Non-recurrent	Total requirements 2011	Variance
Category	(1)	(2)	(3)=(1)-(2)	(4)	(5)	(6)	(7)=(4)-(6)
Civilian personnel costs	2 333.7	2 025.1	308.6	1 325.2	—	1 181.0	144.2
Operational costs	5 897.5	5 632.4	265.1	2 938.6	4.5	3 118.0	(179.4)
Total	**8 231.2**	**7 657.5**	**573.7**	**4 263.8**	**4.5**	**4 299.0**	**(35.2)**

141. The mandates of the Monitoring Team established pursuant to Security Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities and of the Office of the Ombudsperson have been extended until 31 December 2012. The estimated requirements for 2012 amount to $4,263,800 net ($4,499,800 gross). That amount would provide for salaries and common staff costs for the continuation of 10 positions to provide substantive and administrative support to the members of the Monitoring Team, and the proposed creation of two positions to support the Office of the Ombudsperson ($1,267,100); general temporary assistance ($58,100); fees ($1,718,400) and official travel ($644,800) of the eight members of the Team and of the Ombudsperson; official travel of the Committee and staff ($142,800); rental of office space and office equipment and maintenance ($304,800); communications ($18,700); information technology equipment and maintenance ($93,700); and other supplies and services ($15,400).

142. The variance between the 2012 requirements and the 2011 budget is due to reduced requirements for travel, adjusted on the basis of the pattern of expenditure, mostly offset by an increase under personnel costs due to the proposed creation of two positions (one P-4 and one General Service (Other level)) in 2012.

143. The anticipated unencumbered balance for 2010-2011 is mainly due to two positions being vacant for nine months during the biennium and to the staff being unable to travel with the experts for most of 2010 as they were occupied with the review of the entries on the Consolidated List.

Staffing requirements

	Professional and higher categories								General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Officer	Local level	United Nations Volunteers	Total
Approved 2011	—	—	—	—	1	1	3	—	**5**	—	5	**10**	—	—	—	**10**
Proposed 2012	—	—	—	—	1	2	3	—	**6**	—	6	**12**	—	—	—	**12**
Change	—	—	—	—	—	**1**	—	—	**1**	—	**1**	**2**	—	—	—	**2**

144. In addition to the continuation of 10 existing positions, it is proposed to create a position of Legal Officer (P-4) and a position of Research Assistant (GS (Other level)) to support the Office of the Ombudsperson established by resolution 1904 (2009), in view of the increased workload of the Office.

J. Support to the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction

($3,070,900)

Background, mandate and objective

145. By its resolution 1540 (2004), the Security Council established a Committee, consisting of all members of the Council, to report to it on the implementation of the resolution, which deals with non-proliferation of weapons of mass destruction and their means of delivery. Acting under Chapter VII of the Charter of the United Nations, the Council decided that all States should refrain from providing any form of support to non-State actors that attempt to develop, acquire, manufacture, possess, transport, transfer or use nuclear, chemical or biological weapons and their means of delivery. All States, in accordance with their national procedures, are requested to adopt and enforce appropriate effective laws that prohibit any non-State actor from engaging in such activities, in particular for terrorist purposes, and to take and enforce effective measures to establish domestic controls to prevent the proliferation of nuclear, chemical or biological weapons and their means of delivery, including by establishing appropriate controls over related materials.

146. In its resolution 1977 (2011), the Security Council extended the mandate of the Committee until 25 April 2021 and, recognizing States' progress in implementing resolution 1540 (2004) and endorsing the valuable activities of the 1540 Committee with relevant international, regional and subregional organizations:

(a) Decided that the Committee should continue to intensify its efforts to promote the full implementation by all States of resolution 1540 (2004), taking into account its annual review on the implementation of the resolution, prepared with the assistance of the group of experts before the end of each December;

(b) Urged the Committee to continue to engage actively with States and relevant international, regional and subregional organizations to promote the sharing of experience, lessons learned and effective practices in the areas covered by resolution 1540 (2004);

(c) Encouraged the Committee to engage actively in dialogue with States on the implementation of resolution 1540 (2004), including through visits to States at their invitation;

(d) Urged the Committee to continue strengthening its role in facilitating technical assistance for the implementation of resolution 1540 (2004), in particular by engaging actively, with the support of the group of experts, in matching offers and requests for assistance, through such means as visits to States, at the invitation of the State concerned, assistance templates, action plans or other information submitted to it;

(e) Requested the Committee to continue to institute transparency measures and activities, inter alia by making fullest possible use of the Committee's website and conducting, with the participation of the group of experts, regular meetings open to all Member States;

(f) Requested the Committee to continue to organize and participate in outreach events on the implementation of resolution 1540 (2004) at the international, regional, subregional and, as appropriate, national levels, and promote the refinement of those outreach efforts to focus on specific thematic and regional issues related to implementation.

147. In its resolution 1977 (2011) also, the Security Council decided to continue to provide the Committee with the assistance of experts and, to that end, requested the Secretary-General to establish, in consultation with the 1540 Committee, a group of up to eight experts, to assist the Committee in carrying out its mandate. In that regard, the Council requested the Committee to consider recommendations on the expertise requirements, broad geographic representation, working methods, modalities and structure, including consideration of the feasibility of a coordination and leadership position of the group of experts, and to present those recommendations to the Council no later than 31 August 2011.

148. In the same resolution, the Security Council recognized that implementation of the mandate of the 1540 Committee required sustained support and adequate resources, endorsed the existing administrative and logistics support to the Committee from the Office for Disarmament Affairs and decided that the Committee should report to the Council by January 2012 on the possibility of strengthening that support, including through strengthening of the regional capacity of the Office to support the implementation of the resolution at the regional, subregional and national levels; and called upon the Secretariat to provide and maintain sufficient expertise to support the activities of the Committee.

149. In 2010/11, the Committee continued its active work of promoting the objectives of resolution 1540 (2004) and assisting Member States in its implementation, including by encouraging them to provide their national reports and information on the steps they have taken or intend to take to implement the resolution. In 2010/11, 11 additional States submitted national reports and provided information regarding the implementation of the resolution. The Committee approved the country examination sheets (matrices) for all Member States, including for non-reporting States, and posted 179 matrices on its website, with the consent of the Member States concerned. Through its examination of national reports and information submitted by Member States, the Committee noted that the number of implementation measures taken by States in 2010/11 had increased compared to the previous period. The Committee has advanced its work on facilitating the provision of technical assistance to Member States for the implementation of resolution 1540 (2004), including by establishing a consolidated database on requests for assistance and by adopting up-to-date procedures for handling such requests. The Committee also intensified its efforts to enhance cooperation with intergovernmental organizations, including the Organization for the Prohibition of Chemical Weapons, IAEA and the European Union. Those increased efforts contributed to the convening in December 2010 of a special meeting, the first of its kind, of 25 international, regional and subregional organizations on cooperation in promoting the implementation of resolution 1540 (2004).

150. The Office for Disarmament Affairs provides substantive and logistical support to the Committee and its experts. In particular, the Office supports the assistance facilitation and outreach activities of the Committee through fund-raising and by organizing regional and subregional workshops on the implementation of resolution 1540 (2004) and facilitation missions. The capacity-building workshops organized by the Office are funded from extrabudgetary resources. The Security Council, in resolution 1977 (2011), urged the Committee to continue to encourage and take full advantage of voluntary financial contributions to assist States in identifying and addressing their needs for the implementation of resolution 1540 (2004). The Office also provides information technology support to the group of experts and maintains the website of the Committee with the aim of enhancing transparency in the work of the Committee and providing wider public access to information on its activities.

151. It is expected that 1540-related voluntary contributions and grants to the Trust Fund for Global and Regional Disarmament Activities, which is used to support 1540 Committee activities, will exceed $3,000,000 in 2012. Those funds will be used to support outreach and assistance facilitation activities, including through the holding of regional and subregional workshops to promote the implementation of resolution 1540 as it relates to the physical protection of and accounting for weapons-of-mass-destruction-related materials. It is also planned to allocate funds from extrabudgetary resources to support specific capacity-building projects, upon requests of interested Member States.

Cooperation with other entities

152. In providing support to the Committee, the Office for Disarmament Affairs facilitates close cooperation between international, regional and subregional organizations, including organizations and entities of the United Nations system. This involves in particular the promotion of an appropriate framework for synergies to avoid duplication of their respective efforts, especially in the areas of capacity-building and assistance facilitation. In December 2010, the Office organized a meeting of 25 international, regional and subregional organizations on cooperation in promoting the implementation of resolution 1540 (2004) and established a password-protected website to facilitate information exchange among those organizations.

153. In resolution 1977 (2011), the Security Council reiterated the need to enhance the ongoing cooperation between the 1540 Committee, the Security Council Committee established pursuant to resolution 1267 (1999) concerning Al-Qaida and the Taliban and associated individuals and entities, and the Security Council Committee established pursuant to resolution 1373 (2001) concerning counter-terrorism, including through, as appropriate, enhanced information sharing, coordination of country visits, within their respective mandates, technical assistance and other issues of relevance to all three Committees, and expressed its intention to provide guidance to the Committees on areas of common interest in order to better coordinate their efforts.

154. In 2011, the three Committees continued to provide biannual joint briefings to the Security Council, outlining the areas of cooperation and coordination. An important element of cooperation among the Committees is the coordination of visits to Member States and of participation at relevant conferences and workshops. The Committees and their experts continued implementing a common strategy on non-reporting States, elaborated a common strategy to engage with international, regional and subregional organizations in a coordinated and complementary way and explored other possible common strategies, such as on assistance or joint

country visits. The Committee experts cooperate with the Counter-Terrorism Implementation Task Force in the framework of the United Nations Global Counter-Terrorism Strategy and cooperate with the Monitoring Team established pursuant to Security Council resolution 1526 (2004) and the Counter-Terrorism Executive Directorate by holding regular inter-expert meetings in order to discuss areas of common interest.

Performance information

155. The Committee continued its efforts to advance the implementation of Security Council resolution 1540 (2004). National reporting by States remains the main source of information for the examination by the Council of the implementation of the resolution. In its 2011 report, the Committee noted that 168 Member States had submitted their first reports and 105 Member States had submitted additional information. The target number for 2011 of 170 first reports by States is expected to be achieved. The number of follow-up reports with additional information from Member States has increased but is not expected to reach the target set for 2011 of 300 submissions. However, alternative means have been used by the Committee and its experts to obtain additional information on the implementation of resolution 1540 (2004), including through bilateral and multilateral meetings with Member States and information from international, regional and subregional organizations, as well as from publicly available official sources.

156. Country examination sheets (matrices) are derived from national reports and additional information on implementation measures. The matrices for all 192 Member States prepared by the 1540 experts were provided to the 1540 Committee. In 2011, 179 matrices approved by the Committee have been published on the Committee's official website with the consent of the Member States concerned. The target number for 2011 of 192 reviewed matrices is expected to be achieved. The expert group will continue its practice of reviewing matrices for all Member States.

157. Based on the information available to the Committee, the number of measures taken by States in the implementation of resolution 1540 (2004) has increased and has already surpassed the target for 2011. A legislative database on national implementation measures is expected to be established.

158. The Committee's facilitation of technical assistance continues to be essential for enhancing the full implementation of resolution 1540 (2004) and building national capacity to meet implementation challenges. The target for 2011 of 90 requests from States for technical assistance is expected to be achieved. In 37 cases, assistance has been facilitated or is in the process of being facilitated in response to requests for assistance submitted to the Committee. In approximately half of those cases, the assistance has been facilitated through the match-making efforts of the Committee. The technical assistance database has been redesigned to better reflect and facilitate the Committee's assistance-related activities and to make it more user-friendly. In addition, a consolidated list of requests for assistance has been prepared to facilitate the match-making function of the Committee.

159. The target for 2011 for the identification of practices of interest, experience-sharing and lessons learned is expected to be achieved. The 2011 report of the Committee includes an annex with a compilation of over 70 specific examples of implementation practices and shared experience. Four country-specific missions, to be carried out upon the invitation of interested States, are expected to be conducted

in 2011; however, the target for 2011 of eight missions is not expected to be achieved as invitations from several Member States are still at the discussion stage.

160. In 2011, the Office for Disarmament Affairs supported the organization of an OSCE workshop on the implementation of resolution 1540 (2004). It is expected that additional workshops and other outreach events, including two regional workshops (for Central Asian States and for South-East Asian States) will be organized by the Office in 2011. The Office also provided support to Member States to organize and hold conferences and meetings promoting the implementation of the resolution, and support for other outreach events carried out by the Committee representatives and experts. The 2011 target of 45 outreach events and 50 activities involving international organizations and other entities in promoting the full implementation of the resolution is expected to be met. The 2011 target of 20 cooperative activities of the three Security Council Committees is expected to be achieved.

Planning assumptions for 2012

161. The Security Council, by its resolution 1977 (2011), extended the mandate of the Committee until 25 April 2021. On the basis of the provisions of the resolution, it is expected that the activities of the Committee will continue to intensify to facilitate the implementation of the requirements of resolution 1540 (2004) by Member States, in particular through the facilitation of assistance and enhanced cooperation with international, regional and subregional organizations.

162. The objective, expected accomplishments and indicators of achievement of the Committee are set out below.

Objective: To prevent non-State actors from developing, acquiring, manufacturing, possessing, transporting, transferring or using nuclear, chemical or biological weapons and their means of delivery

Expected accomplishments	Indicators of achievement
(a) Fuller implementation of resolution 1540 (2004)	(a) (i) Number of States adopting measures to implement key requirements of resolution 1540 (2004) *Performance measures* 2010: not available Estimate 2011: not available Target 2012: 30 States (ii) Number of country examination sheets (reviewed matrices) *Performance measures* 2010: 192 reviewed matrices Estimate 2011: 192 reviewed matrices Target 2012: 192 reviewed matrices

	(iii) Increased number of measures taken by States in implementation of resolution 1540 (2004) *Performance measures* 2010: 29,641 measures Estimate 2011: 30,000 measures Target 2012: 31,000 measures

Outputs

- Reports of the Chair of the Committee to the Security Council (4)
- Updated legislative database on national implementation measures (1)
- Presentations and papers at international, regional and national conferences and reports on those events (80)
- Substantive servicing of meetings of the Committee (30)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of States to implement resolution 1540 (2004)	(b) (i) Increased number of requests from States for technical assistance in the implementation of resolution 1540 (2004) *Performance measures* 2010: 80 requests Estimate 2011: 90 requests Target 2012: 100 requests (ii) Increased number of identified best practices, experiences shared and lessons learned *Performance measures* 2010: 71 sets of identified activities Estimate 2011: 75 sets of identified activities Target 2012: 80 sets of identified activities

Outputs

- Updated technical assistance database containing requests for assistance (1)
- Match-making facilitation of technical assistance in response to requests (15)
- Country-specific missions (5)
- Regional capacity-building workshops and other outreach events organized or supported by the Office for Disarmament Affairs (4)

Expected accomplishments	Indicators of achievement
(c) Improved interaction with and among Member States, including by enhancing synergies of relevant United Nations system entities and cooperation with other international organizations	(c) (i) Number of outreach events *Performance measures* 2010: 46 events Estimate 2011: 45 events Target 2012: 45 events (ii) Number of cooperative activities of the three Security Council Committees (established pursuant to resolutions 1267 (1999), 1373 (2001) and 1540 (2004)) *Performance measures* 2010: 20 joint activities Estimate 2011: 20 joint activities Target 2012: 20 joint activities (iii) Number of activities involving international organizations and other entities in promoting the full implementation of resolution 1540 (2004) *Performance measures* 2010: 50 activities Estimate 2011: 52 activities Target 2012: 55 activities

Outputs

- Presentations at events organized by international and regional organizations dealing with issues related to the implementation of resolution 1540 (2004) and presentations at workshops and other outreach events organized or supported by the Office for Disarmament Affairs (50)

External factors

163. The objectives would be achieved on the assumption that Member States continue to implement the requirements of resolution 1540 (2004) and in particular respond to specific requirements of resolution 1977 (2011).

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			Requirements for 2012		Variance analysis 2011-2012	
Category	Appropriation (1)	Estimated expenditure (2)	Variance, savings (deficit) (3)=(1)-(2)	Total (4)	Non-recurrent (5)	Total requirements 2011 (6)	Variance (7)=(4)-(6)
Civilian personnel costs	1 857.5	1 827.5	30.0	693.1	—	948.5	(255.4)
Operational costs	4 477.1	3 894.0	583.1	2 377.8	12.7	2 097.2	280.6
Total	**6 334.6**	**5 721.5**	**613.1**	**3 070.9**	**12.7**	**3 045.7**	**25.2**

164. The mandate of the Security Council Committee established pursuant to resolution 1540 (2004) on the non-proliferation of all weapons of mass destruction has been extended until 25 April 2021. The estimated requirements for supporting the Committee in 2012 amount to $3,070,900 net ($3,184,900 gross). That amount would provide for salaries and common staff costs ($693,100) for the continuation of five positions to provide substantive and administrative support to the Committee; fees ($1,555,000) and official travel ($250,000) of the eight experts; official travel of the members of the Committee and staff ($257,300); and other requirements, such as the rental of premises ($149,900), communications ($8,800) and information technology equipment and maintenance ($156,800).

165. The variance between the 2012 requirements and the 2011 budget is due mainly to the undertaking of a new project to develop a knowledge/information management system to process, manage, exchange, access, store and archive the 1540 Committee documents.

166. The anticipated unencumbered balance for 2010-2011 is due mainly to the fact that the cost of the Committee's move to new office space, budgeted for in 2010, was absorbed in the context of relocation under the capital master plan.

Staffing requirements

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Officer	Local level	United Nations Volunteers	Total
Approved 2011	—	—	—	—	1	—	2	—	**3**	—	2	**5**	—	—	—	**5**
Proposed 2012	—	—	—	—	1	—	2	—	**3**	—	2	**5**	—	—	—	**5**
Change	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—	—

167. In 2012, no change is proposed to the staffing structure.

K. Counter-Terrorism Committee Executive Directorate

($8,892,500)

Background, mandate and objective

168. The Counter-Terrorism Committee Executive Directorate was established by the Security Council in its resolution 1535 (2004) as a special political mission to support the work of the Counter-Terrorism Committee in monitoring the implementation of Council resolution 1373 (2001). The Council adopted resolution 1963 (2010) on 20 December 2010 to extend the mandate of the Executive Directorate until 31 December 2013. Over the years, the Council has modified both the operational terms of reference and the internal structure of the Executive Directorate to respond to the ever-evolving global terrorist threat. Council resolution 1805 (2008) established five internal cross-cutting working groups within the Executive Directorate and introduced a more flexible system for country visits. Council resolution 1963 (2010) reaffirmed the core objectives and tasks of the Executive Directorate and added new ones, including a mandate to engage directly in the capacity-building activities of Member States with a view to enhancing institutions engaged in strengthening the rule of law and respect for human rights in the context of the global fight against terrorism.

169. Security Council resolution 1963 (2010) calls upon the Executive Directorate to address the conditions conducive to the spread of terrorism; focus more resources on helping Member States implement resolution 1624 (2005); advise the Committee and the Council on the development of comprehensive and integrated national counter-terrorism strategies by Member States and the mechanisms to implement them; take an active role in integrating civil society and other relevant non-governmental actors into the work of the Executive Directorate; expand the facilitation of technical assistance to Member States to help them better implement resolutions 1373 (2001) and 1624 (2005); prepare global surveys on the implementation of the two resolutions by Member States, for the attention of the Committee and the Council; organize a special meeting, open to the entire United Nations membership, to mark the tenth anniversary of the adoption of resolution 1373 (2001) and the establishment of the Committee in the immediate aftermath of the September 2001 attacks; increase the number of regional workshops aimed at assisting Member States to deepen their implementation of resolutions 1373 (2001) and 1624 (2005); initiate new activities in response to the use of the Internet by terrorist organizations; develop programmes that respond to the long-term needs of victims of terrorism; and undertake more regional approaches, in concert with other United Nations bodies such as the Counter-Terrorism Implementation Task Force, the Monitoring Team of the Security Council Committee established pursuant to resolution 1267 (1999), the Expert Group of the Security Council Committee established pursuant to resolution 1540 (2004), the Terrorism Prevention Branch of UNODC and other international, regional and subregional organizations engaged in the fight against terrorism. In that regard, the Executive Directorate chairs or co-chairs two working groups of the Counter-Terrorism Implementation Task Force and contributes regularly to the substantive activities of its other four working groups.

170. In accordance with its mandate, the Executive Directorate continues to conduct thorough, consistent, transparent and even-handed analyses of the efforts of Member States to implement resolution 1373 (2001). The Executive Directorate completed the

first-round of stocktaking using the format of preliminary implementation assessments of all 192 Member States. It continues to work with Member States on the second round of stocktaking and has also developed effective measures to engage with non-submitting and late-submitting States to assist them in this exercise, notably by holding videoconferences with national experts in the capitals of those States. Since 2005, the Executive Directorate has conducted 62 country visits on the Committee's behalf and, at the end of 2010, the Committee authorized the Executive Directorate to conduct 42 more country visits during the period 2011-2013. The Executive Directorate continues to facilitate the delivery of technical assistance relating to the implementation of resolutions 1373 (2001) and 1624 (2005), to draw upon the revised technical assistance strategy approved by the Committee in 2008 and to use other Committee guidelines that place priority on visits to States and on Member State follow-up requests to help them further implement the relevant resolutions.

171. Over the past 12 months, the Executive Directorate has intensified its work, which includes: active participation in projects related to the working group of the Counter-Terrorism Implementation Task Force on the Integrated Assistance for Countering Terrorism Initiative; detailed preparations for a series of regional initiatives focusing on non-profit organizations and charities; more comprehensive engagement with the private sector to support the efforts of donor and provider Governments to deliver technical assistance to Member States; broader partnerships with the private sector in other areas of the Executive Directorate's work, including helping build rule of law institutions and countering the appeal of terrorism; and enhanced activities that encourage States to respect human rights and the rule of law in the context of counter-terrorism. In the latter context, the Executive Directorate continued to take account of relevant human rights concerns, including in the preparation of preliminary implementation assessments, in its dialogue with States and within the framework of country visits, regional workshops, conferences and related events. The Executive Directorate's internal working group on resolution 1624 (2005) and human rights aspects of counter-terrorism in implementing resolution 1373 (2001) has played an increasingly significant role in regard to human rights and rule of law issues by expanding its activities and reporting on them to the Committee. Those issues have become central concerns of Committee members, who are promoting and seeking broader action from the Executive Directorate in that area.

172. In February 2011 the Trust Fund for the Counter-Terrorism Committee Executive Directorate was established with the aim of funding the organization of workshops for counter-terrorism practitioners to help Member States fulfil their obligations under Security Council resolutions 1373 (2001) and 1624 (2005). In 2011, the Executive Directorate organized and sponsored two workshops: one in Islamabad to help strengthen the oversight role of the Parliament of Pakistan regarding the implementation of counter-terrorism legislation that was attended by Pakistani parliamentarians and senior Pakistani Government officials, United Nations experts, and representatives of Member States and of other international organizations; and one in Ankara which brought together prominent national counter-terrorism prosecutors from a wide variety of regions around the world to share experience and exchange views, while simultaneously enabling the Committee and the Executive Directorate to enhance their understanding of the challenges involved in prosecuting terrorist suspects successfully. A regional workshop in East Africa, planned to be held in November 2011, will facilitate dialogue and the sharing of views, experience and challenges that States in the region face

concerning how best to implement resolution 1624 (2005). In 2011, extrabudgetary funds will cover the cost of travel for some participants as well as conference servicing costs in an estimated amount of $175,000 ($120,000 for travel and $55,000 for conference servicing).

173. In 2012, the Executive Directorate intends to organize a number of workshops in various regions around the world, consistent with resolution 1963 (2010), that will assist Member States in implementing resolution 1624 (2005). Other workshops, including a workshop for prosecutors, will focus on helping Member States implement targeted aspects of resolution 1373 (2001). In 2012, extrabudgetary funds will cover the cost of travel for some participants as well as conference servicing costs in an estimated amount of $260,000.

Cooperation with other entities

174. The Security Council periodically urges the Committee and the Executive Directorate to work more closely and actively with other international, regional and subregional organizations to better monitor implementation of resolutions 1373 (2001) and 1624 (2005) and the United Nations Global Counter-Terrorism Strategy. In that regard, the Committee and the Executive Directorate cooperate closely with the 30 entities that comprise the Counter-Terrorism Implementation Task Force established under the Global Strategy. Most importantly, the Executive Directorate experts work daily with the experts of the Monitoring Team of the Security Council Committee established pursuant to resolution 1267 (1999) and of the Expert Group of the Security Council Committee established pursuant to resolution 1540 (2004) to enhance planning and develop common strategies via information sharing, to organize or promote joint workshops that facilitate coordinated technical assistance, to conduct joint country visits, and to network with other international, regional and subregional organizations that are engaged in the global fight against terrorism. The Executive Directorate also cooperates with specific United Nations peacekeeping missions when conducting its country visits, holds regular consultations with representatives of the Department of Peacekeeping Operations, the Department of Field Support, the Department of Political Affairs, the Office of Legal Affairs, the Office for Disarmament Affairs and other relevant Secretariat departments in order to develop accurate country and regional counter-terrorism profiles. The Executive Directorate also maintains close contacts with the Department of Public Information regarding the communications strategy of the Executive Directorate, website maintenance and the dissemination of information relating to counter-terrorism steps taken by the United Nations system. The Executive Directorate maintains close operational contacts with the Terrorism Prevention Branch of UNODC, consults regularly with UNDP country offices to identify challenges and practical ways to address local counter-terrorism issues on the ground, and works with United Nations specialized agencies to develop best practices in relation to the implementation of resolution 1373 (2001) and to conduct joint country visits.

175. International, regional and subregional organizations are critical partners of the Committee and the Executive Directorate in their common efforts to bolster the implementation of resolutions 1373 (2001) and 1624 (2005). In that regard, the Committee and the Executive Directorate organized a special meeting of the Committee on the prevention of terrorism, at the headquarters of the Council of Europe in Strasbourg, France, in April 2011. The special meeting was attended by representatives of many international, regional and subregional organizations, as

well as of civil society, and resulted in a Chair's summary of participants' observations. The Executive Directorate also maintains and updates an active list of the counter-terrorism focal points of more than 100 international, regional and subregional organizations.

176. One important aspect of the participation of the Executive Directorate in the work of the Counter-Terrorism Implementation Task Force is building key relationships with the Office of the United Nations High Commissioner for Refugees, the Office of the United Nations High Commissioner for Human Rights, the Special Rapporteur on the promotion and protection of human rights and fundamental freedoms while countering terrorism, and with other human rights bodies and entities both within and beyond the United Nations system.

Performance information

177. In 2010, the Committee called upon the Executive Directorate to deliver 17 thematic or regional presentations to its membership and to the wider community of Member States. That process continues in 2011 and will become a permanent feature of the Executive Directorate's reporting to the Committee and reaching out to the wider United Nations membership on its work. This activity assists Member States in understanding their obligations under relevant Security Council resolutions. In 2011, the Executive Directorate also conducted three country visits; launched a three-year global initiative on preventing abuse of the non-profit sector for terrorist financing purposes; and prepared a directory of good practices on the implementation of resolution 1624 (2005), the first of its kind in the United Nations system. Under the Integrated Assistance for Countering Terrorism Initiative, within the framework of the Counter-Terrorism Implementation Task Force, the Executive Directorate engaged with the Government of Nigeria to advance a road map for the development of national counter-terrorism preventive measures. This project became a model for other States. The Executive Directorate partnered with the Financial Action Task Force on Money Laundering to complete a major project for the revision of guidelines on the counter-financing of terrorism. The Executive Directorate also initiated a workplan, in partnership with a key regional organization in Africa, to develop a comprehensive and integrated counter-terrorism mechanism; produced an updated and expanded global survey of the implementation of resolution 1373 (2001) by Member States; and sponsored or co-organized several regional events with international, regional or subregional organizations to address counter-terrorism challenges. Those specific activities expanded the capacity of States to implement the relevant Security Council resolutions. The Executive Directorate also chaired the start-up of a working group of the Counter-Terrorism Implementation Task Force on border management and produced a plan of action for its work. That working group, which became operational in 2011, represents a critical step in helping States address effective border control measures. Finally, a United Nations Twitter account was added to the Committee's website in accordance with the communications strategy approved by the Committee.

Planning assumptions for 2012

178. By adopting resolution 1963 (2010), the Security Council extended the mandate of the Counter-Terrorism Committee Executive Directorate until 31 December 2013 and established a number of priority goals to be accomplished during the period 2011-2013. The Council requested the Committee and the Executive Directorate to

review and approve a plan of action to strengthen the implementation of resolution 1624 (2005) and requested the Executive Directorate to organize a series of regional workshops on efforts by Member States to implement the human rights and rule of law aspects of resolutions 1373 (2001) and 1624 (2005). The Council also requested the Executive Directorate to update the Committee's directory of good practices to implement resolution 1624 (2005) and submit a recurrent global survey on the status of implementation by Member States of that resolution. In addition, the Council called upon the Executive Directorate to develop comprehensive and integrated counter-terrorism strategies for Member States seeking assistance in implementing resolution 1373 (2001). Furthermore, the Council urged the Executive Directorate to conduct broad outreach events to revitalize global interest in the implementation of resolutions 1373 (2001) and 1624 (2005), particularly in the light of the forthcoming tenth anniversary of the adoption of resolution 1373 (2001) and the intensified focus of many Member States on the human rights elements of resolutions 1373 (2001) and 1624 (2005). In response to Council resolution 1963 (2010), the Committee tasked the Executive Directorate with facilitating technical assistance to Member States engaged in a three-year project to prevent abuse of the non-profit sector for terrorist-financing purposes. This involves organizing a series of workshops in regions of the world where that issue is a prominent problem. Another initiative requested of the Executive Directorate was to organize workshops for counter-terrorism prosecutors in follow-up to the first global seminar for counter-terrorism prosecutors, held in New York in December 2010. The Executive Directorate will be heavily engaged in the coordination with the Counter-Terrorism Implementation Task Force and other United Nations entities of the plans to commemorate the attacks of 11 September 2001. At one of the commemorative events, the Global Counter-Terrorism Forum, an independent body of more than 35 Member States, will be launched. It will establish three regional working groups and two thematic working groups that will engage the Executive Directorate directly in its activities to enhance the role of the United Nations in the global fight against terrorism. Implementation of the Forum's plan of action will take place early in 2012.

179. The objective, expected accomplishments and indicators of achievement of the Executive Directorate are set out below.

Objective: To ensure the comprehensive implementation of Security Council resolutions 1373 (2001) and 1624 (2005), mandated parts of the United Nations Global Counter-Terrorism Strategy and other relevant counter-terrorism resolutions

Expected accomplishments	Indicators of achievement
(a) Improved capacity of Member States to implement Security Council resolutions 1373 (2001) and 1624 (2005)	(a) (i) Number of additional ratifications by Member States of one or more of the 16 international counter-terrorism instruments and adoption of domestic legislation *Performance measures* 2010: 78 Estimate 2011: 80 Target 2012: 80

(ii) Number of Member States receiving technical assistance from donors and providers as a result of the determination by the Executive Directorate of vulnerabilities and its facilitation of programmes that result in concrete actions to implement relevant resolutions

Performance measures

2010: 80

Estimate 2011: 95

Target 2012: 95

(iii) Number of best practices, codes and standards originating with the Executive Directorate or identified by it acting in concert with other international counter-terrorism organizations that are implemented by Member States

Performance measures

2010: 21

Estimate 2011: 20

Target 2012: 20

Outputs

- Preliminary implementation assessments completed for review and approval by the Counter-Terrorism Committee (50)
- Assessment mission reports approved by the Committee following comprehensive and focused visits and follow-up visits to Member States (15)
- Fourth survey on the global status of implementation of resolution 1373 (2001) for the Committee and the Security Council (1)
- Updated technical guide to the implementation of resolution 1373 (2001) for the Committee that Member States use to implement the resolution

Expected accomplishments	Indicators of achievement
(b) More comprehensive guidance to Member States on the implementation of relevant Security Council and General Assembly counter-terrorism resolutions	(b) (i) Increased number of Member States hosting assessment missions led by the Executive Directorate with experts from the Committees established pursuant to resolutions 1267 (1999) and 1540 (2004), UNODC, the secretariat of the Counter-Terrorism Implementation Task Force and other counter-terrorism bodies or organizations

Performance measures

2010: 5

Estimate 2011: 8

Target 2012: 14

(ii) Increased number of Member States participating in workshops hosted by the Executive Directorate with United Nations entities and international, regional or subregional organizations to develop national or regional counter-terrorism capacities

Performance measures

2010: 79

Estimate 2011: 80

Target 2012: 85

(iii) Increased number of donors/providers of counter-terrorism organizations facilitating the provision of technical assistance to Member States or their regional organizations to help them implement the United Nations Global Counter-Terrorism Strategy

Performance measures

2010: 86

Estimate 2011: 85

Target 2012: 95

Outputs

- Daily contact with the Counter-Terrorism Implementation Task Force and its secretariat to implement the United Nations Global Counter-Terrorism Strategy
- Briefings to the Security Council, coordinating input from experts of the three counter-terrorism Committees, UNODC and the secretariat of the Task Force (2)
- Reports to the Counter-Terrorism Committee on areas of cooperation and coordination with international, regional and subregional organizations (15)
- Daily contacts at all levels with international, regional and subregional organizations to promote the implementation of resolutions 1373 (2001) and 1624 (2005)
- Workshops co-hosted by the Counter-Terrorism Committee Executive Directorate with other entities and donors that promote integrated approaches to the implementation of all relevant United Nations counter-terrorism resolutions (20)

Expected accomplishments	Indicators of achievement
(c) Enhanced knowledge and understanding by Member States, civil society, private-sector entities and academia of the activities of the Security Council and the Counter-Terrorism Committee to implement resolutions 1373 (2001) and 1624 (2005)	(c) (i) Increased number of visits on the Committee's website *Performance measures* 2010: not available Estimate 2011: 60,000 Target 2012: 65,000 (ii) Increased number of private-sector entities contacted by the Executive Directorate, including multinational corporations and private donor organizations that represent prospective providers of technical assistance to Member States *Performance measures* 2010: 27 Estimate 2011: 40 Target 2012: 50

Outputs:

- Regular updates and feature enhancements of the Committee's website in the six official languages of the United Nations
- Meetings with Member States, regional organizations, non-governmental organizations, academic groups and other entities to explain the counter-terrorism activities of the United Nations and the Executive Directorate (50)
- Counter-Terrorism Committee and Executive Directorate media conferences, press statements and press releases (80)
- Press kits distributed to Member States, the media, civil society and non-governmental organizations promoting the work of the Committee, the Executive Directorate and the Counter-Terrorism Implementation Task Force (3,000)
- Copies distributed to all Member States, international organizations and civil society entities dealing with counter-terrorism of the annual report to the Security Council on the status of the global implementation of resolution 1373 (2001) and of the technical guide to the implementation of the resolution (500)

External factors

180. The objective would be achieved on the assumption that Member States implement the relevant resolutions of the Security Council and provided that the collection and analysis of information for the Counter-Terrorism Committee are not hampered.

Resource requirements

(Thousands of United States dollars)

	1 January 2010-31 December 2011			Requirements for 2012		Variance analysis 2011-2012	
	Appropriation	Estimated expenditure	Variance savings (deficit)	Total	Non-recurrent	Total requirements 2011	Variance
Category	(1)	(2)	(3)=(1)-(2)	(4)	(5)	(6)	(7)=(4)-(6)
Civilian personnel costs	12 923.8	12 600.0	323.8	6 703.6	—	6 655.4	48.2
Operational costs	4 366.9	4 358.9	8.0	2 188.9		2 246.6	(57.7)
Total	**17 290.7**	**16 958.9**	**331.8**	**8 892.5**	**—**	**8 902.0**	**(9.5)**

181. The mandate of the Counter-Terrorism Committee Executive Directorate has been extended until 31 December 2013. The estimated requirements for 2012 amount to $8,892,500 net ($9,963,900 gross). That amount would provide for salaries and common staff costs for the continuation of 40 positions (1 ASG, 1 D-2, 2 D-1, 9 P-5, 12 P-4, 3 P-3, 4 P-2, 1 General Service (Principal level) and 7 General Service (Other level)) and the proposed creation of a position of Human Rights Officer (P-3) ($6,703,600); official travel of staff of the Executive Directorate ($1,045,300); the rental of office space ($970,000); communications, including public information services ($71,000); information technology ($91,200); and other supplies and services ($11,400).

182. The variance between the 2012 requirements and the 2011 budget is the net effect of a decrease in travel costs due to the fact that the Executive Directorate is not expected to organize a special meeting in 2012 as was the case in 2011, mostly offset by an increase under personnel costs due to the proposed creation of one position in 2012.

183. The anticipated unencumbered balance for 2010-2011 is due mainly to the fact that the actual average entitlements of the incumbents are lower than the standard salary costs.

Staffing requirements

	Professional and higher categories									General Service and related categories			National staff			
	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	Subtotal	Field Security Service	General Service	Total international	National Officer	Local level	United Nations Volunteers	Total
Approved 2011	—	1	1	2	9	12	3	4	**32**		8	**40**				**40**
Proposed 2012	—	1	1	2	9	12	4	4	**33**		8	**41**				**41**
Change	—	—	—	—	—	—	**1**	—	**1**	—	—	**1**	—	—	—	**1**

184. The 2012 staffing complement of the Executive Directorate includes a request for a new P-3 position of Human Rights Officer besides the continuation of 40 positions. The proposal for a position of Human Rights Officer is in line with Security Council resolution 1963 (2011), in which the Council encouraged the Executive Directorate to further develop its activities in the area of human rights, refugee and humanitarian law, to ensure that all human rights issues relevant to the implementation of resolutions 1373 (2001) and 1624 (2005) are addressed consistently and even-handedly.